MSRB
Municipal Securities Rulemaking Board

EMMA – Electronic Municipal Market Access

The Official Source for Municipal Disclosures and Market Data

EMMA Dataport Manual for Continuing Disclosure Submissions

Version 1.4
May 2010

emma.msrb.org

Revision History

Version	Date	Major Changes
1.0	June 2009	Initial version.
1.1	August 2009	Added new Dataport features in Section 4.1.2: Bulk Upload, CUSIP-6 Search, Associated Securities, and Non-CUSIP-9 Based; Updated screen shots for registration and confirmation process in Section 2.1; Added instructions for restarting the confirmation process in Section 2.3
1.2	January 2010	Change effective January 18, 2010: Added free text field in Section 4.1.1 Selecting the Document Type Change effective January 1, 2010: Uploaded PDFs must be word-searchable
1.3	February 2010	Added new Dataport features in Section 4.1.2A: I do know my CUSIP-9 and Section 4.1.2B: I do not know my CUSIP-9s Figure 5 XML Submission Validation Response Message for data tag “Security” changed from “Error” to “Warning” for Commercial Paper submissions
1.4	May 2010	Changed Section 6: Automated Submission of Continuing Disclosure Documents to point to Specifications for Continuing Disclosure Submission document

TABLE OF CONTENTS

Revision History 1
1 Introduction 2
Other Resources 4
Contact Information 4
2 Registration and Confirmation Overview 5
Municipal Securities Issuer, Obligor, and Secondary Market Agent: 5
Dealer: 5
Primary Market Agent: 5
2.1 Issuer, Obligor, and Secondary Market Agent Registration and Confirmation – Self-Directed 6
2.1.1 Registration Process 6
2.1.2 Confirmation Process 9
2.1.2A Electronic Confirmation Process 9
2.1.2B Manual Confirmation Process 10
2.2 Issuer, Obligor, and Secondary Market Agent Registration and Confirmation – By Email Invitation 13
2.2.1 Responding to an Invitation to Register 13
2.2.2 Responding to an Invitation to Confirm Another User 14
2.2.3 Sending an Invitation 15
2.3 Starting/Reinitiating the Confirmation Process 16
2.4 Continuing Disclosure Account Management – View/Update Account Information . 17
2.4.2 View/Update Continuing Disclosure Roles 18
2.4.3 View/Update Organization-Level Information 19
2.5 Continuing Disclosure Submission Registration by Dealer and Primary Market Agent 20
2.5.1 Granting Continuing Disclosure Submission Account Access Rights – Dealer and Agent for Primary Market Submissions 21
3 Logging into EMMA 23
3.1 Log in from MSRB Gateway 23
3.2 Log in from the EMMA Dataport 25
4 Making a Continuing Disclosure Submission 26
4.1 Submitting an Annual or Periodic Filing 27
4.1.1 Selecting the Document Type 27
4.1.2 Associating Issues or Securities to the Disclosure 29
4.1.2A I Know My CUSIP-9s 29
4.1.2B I Don't Know My CUSIP-9s 31
4.1.2C Non-CUSIP-9 Based 34
4.1.3 Associating Contacts to the Disclosure 35
4.1.4 Uploading the Document 36
4.1.5 Publishing the Disclosure 37
4.1.6 Creating a Group of Securities 39
4.2 Submitting an Event Filing 40
5 Controlling Securities 41
5.1 EMMA Submission Control Dashboard 42
5.2 Agent Designation and Obligor Management 43
6 Automated Submission of Continuing Disclosure Documents 45

1 Introduction

The Electronic Municipal Market Access System, or EMMA, is a facility of the Municipal Securities Rulemaking Board ("MSRB"). EMMA includes services to improve the opportunity for public investors to access material information about municipal securities issuers, their securities and the prices at which the securities trade.

This manual describes the EMMA Continuing Disclosure Service, which receives submissions of continuing disclosure documents, together with related indexing information to allow the public to readily identify and access such documents from issuers, obligors and their agents pursuant to continuing disclosure undertakings entered into consistent with Exchange Act Rule 15c2-12. Submissions may be made at no charge to the submitter through a choice of an Internet-based electronic submission interface or electronic computer-to-computer streaming connections. The EMMA Continuing Disclosure Service makes continuing disclosures available to the public, at no charge, on the Internet through the EMMA website at www.emma.msrb.org. The EMMA Continuing Disclosure Service also makes a real-time feed of continuing disclosures available by subscription for a fee.

Other Resources

MSRB Website: www.msrb.org
EMMA Website: www.emma.msrb.org

Contact Information

MSRB Market Information Department
703-797-6668
EMMAOnline@msrb.org

Municipal Securities Rulemaking Board
1900 Duke Street
Suite 600
Alexandria, VA 22314
Tel: 703-797-6600
Fax: 703-797-6700

2 Registration and Confirmation Overview

All submitters to the continuing disclosure Service must be registered in MSRB Gateway, a single, secure access point for all MSRB applications, in order to make continuing disclosure submissions to EMMA. Each user must also accept the terms and conditions for making continuing disclosure submissions. Once registered, a user may make a continuing disclosure submission but until the user becomes "confirmed," EMMA will identify that user's submissions as being provided by an unconfirmed submitter. MSRB allows unconfirmed submitters to make submissions immediately upon creation of a user account; however MSRB reserves the right to disable an unconfirmed account if a user remains unconfirmed for 15 days after the creation of the user account. An unconfirmed user can become confirmed by having another confirmed user verify the identity of the unconfirmed user, or by providing the MSRB with information that confirms its own identity. The registration and confirmation process applies to the following classes of submitters:

Municipal Securities Issuer, Obligor, and Secondary Market Agent:

Issuers, obligors and secondary market agents must set up a "company account" in MSRB Gateway and each user of a "company account" must setup a user account.

Dealer:

All MSRB-registered dealers ("dealers") have "company accounts" in MSRB Gateway. To make secondary market submissions, a dealer Master Account Administrator or the Account Administrator must provide other users with "EMMA Secondary Market Submission" account access rights. EMMA automatically confirms dealer users.

Primary Market Agent:

Primary market agents have "company accounts" in MSRB Gateway for purposes of submitting primary market information to EMMA. To make continuing disclosure submissions, also known as secondary market submissions the Master Account Administrator or the Account Administrator for the organization must grant users "EMMA Secondary Market Submission" account access rights.

Confirmed issuers can designate agents to submit documents and information on their behalf, and can revoke the designation of any such agents. These designated agents must register to obtain password-protected accounts in order to make submissions on behalf of the designating issuers. An indenture trustee may act as a designated agent for an issuers or obligors without a designation being made by the issuers, if such party certifies through the MSRB Gateway that it is authorized to disseminate continuing disclosure documents on behalf of the issuers under the continuing disclosure

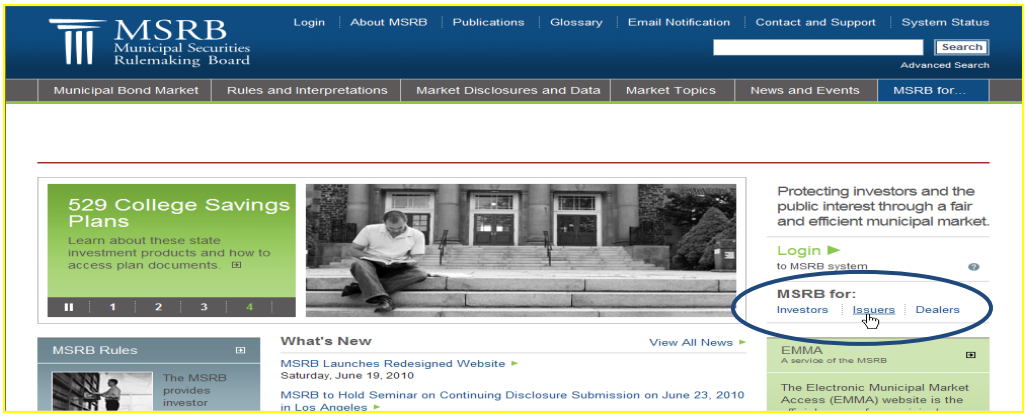
undertaking. The same self-certification ability is available to any other party identified in a continuing disclosure undertaking as a dissemination agent or other party responsible for disseminating continuing disclosure documents on behalf of an issuer. The issuer , through MSRB Gateway, has the ability to revoke the authority of its designated agent. Section 5 describes how to designate agents.

2.1 Issuer, Obligor, and Secondary Market Agent Registration and Confirmation – Self-Directed

Issuers, obligors, and secondary market agents that do not have accounts in MSRB Gateway must first register and set up a user account in MSRB Gateway in order to make continuing disclosure submissions, and then must become confirmed. Section 2.1 details the registration and confirmation process for those users that initiate the registration and confirmation process themselves, as opposed to registering in response to the receipt of an "invitation" to become a registered user, as described in Section 2.2.

2.1.1 Registration Process

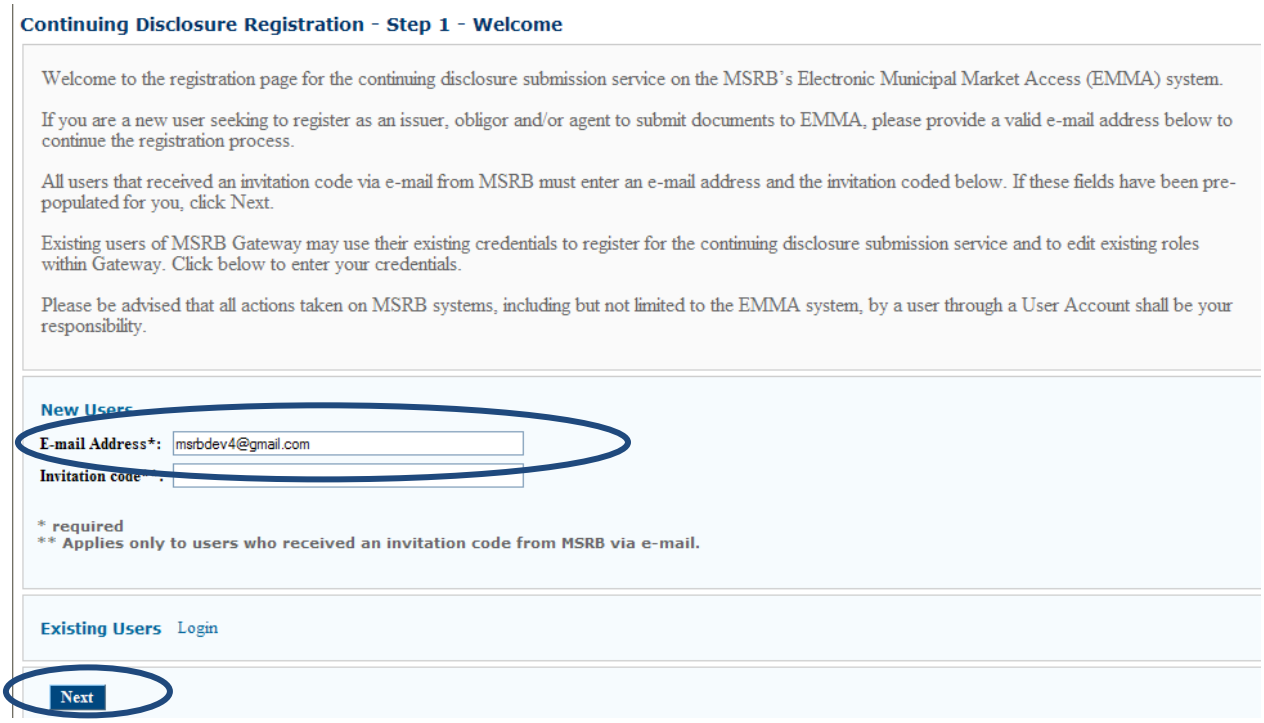
To start the registration process, from the homepage go to the section MSRB for and select "Issuers."



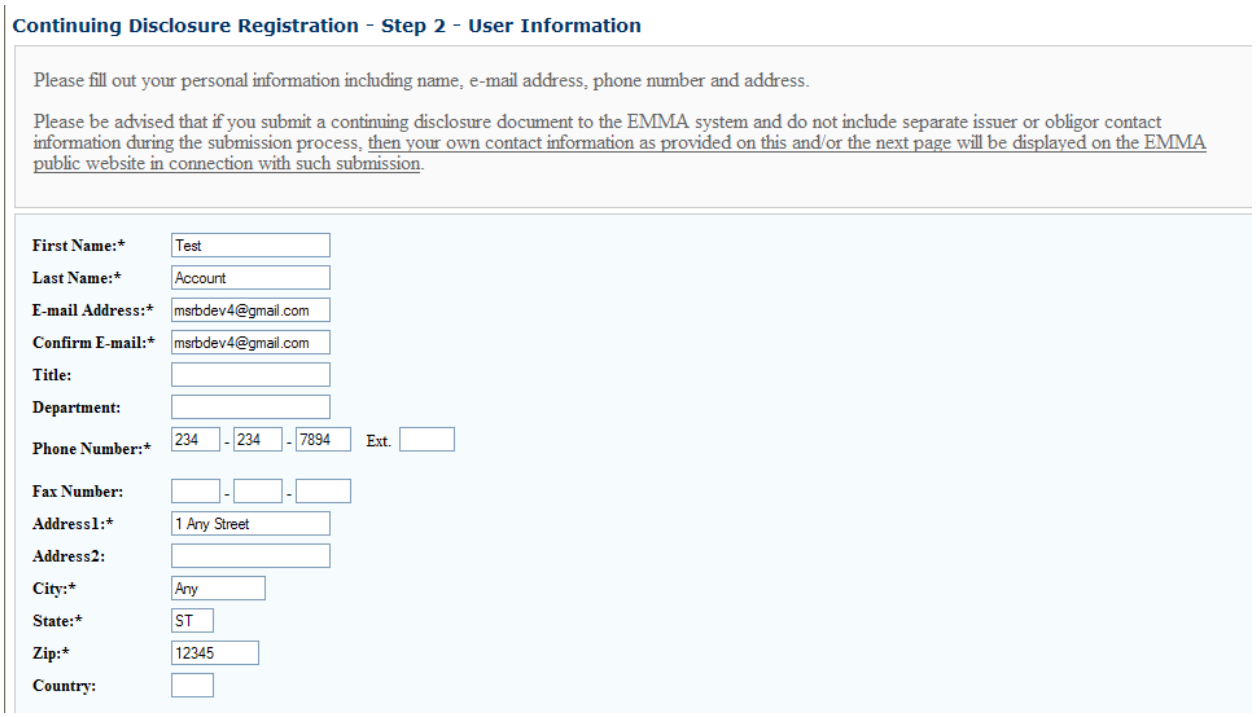
From the issuers page click the link "Issuer Registration".

Issuers
Municipal bond issuers provide the MSRB with disclosures about their bonds, documents that the MSRB makes publicly available on its EMMA website.
Continuing Disclosure Submission
Learn about how to submit continuing disclosures to the MSRB for publication on its EMMA website.
Issuer Registration
Register to submit continuing disclosure documents through a secure, web-based interface called MSRB Gateway.
EMMA
The Electronic Municipal Market Access (EMMA) website is the official source for municipal disclosures and market data.
Continuing Disclosure Confirmation Process
Read about the confirmation process associated with submitting continuing disclosures to the MSRB.
Continuing Disclosure Subscription Services
Read about purchasing a real-time subscription to municipal bond continuing disclosures submitted to the MSRB.

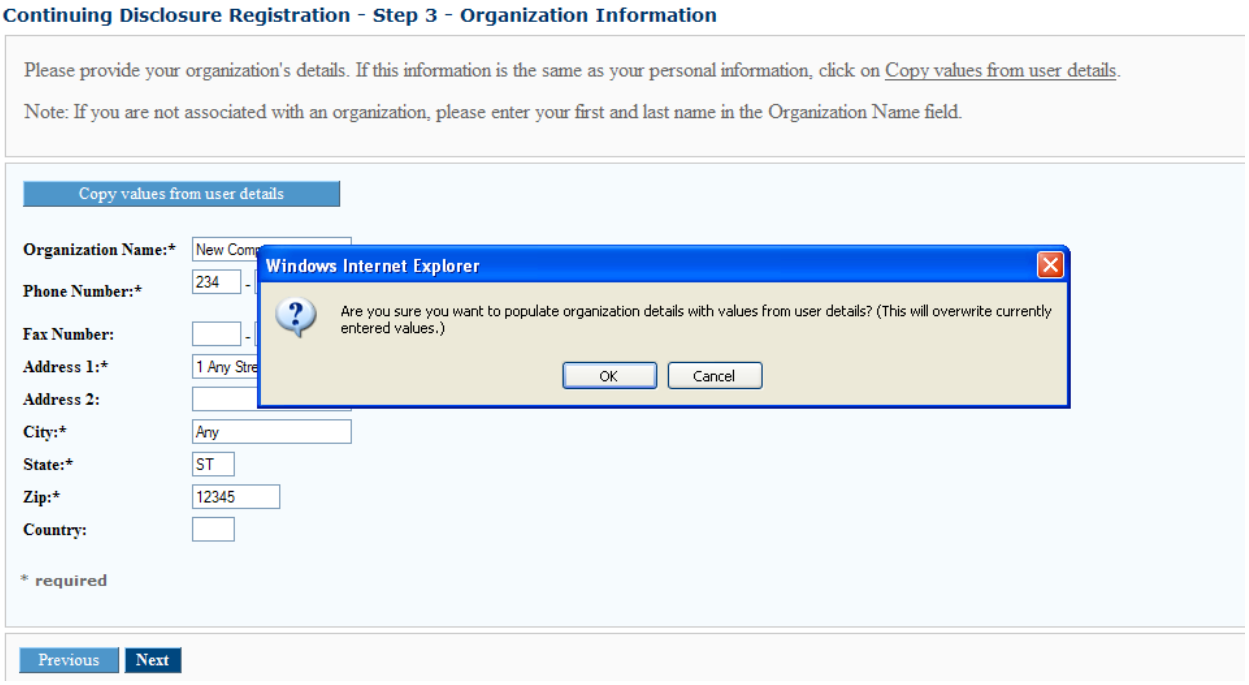
The MSRB Gateway Continuing Disclosure Registration page will open. For new users, enter your e-mail address and select "Next."


Continuing Disclosure Registration - Step 1 - Welcome
Welcome to the registration page for the continuing disclosure submission service on the MSRB's Electronic Municipal Market Access (EMMA) system.
If you are a new user seeking to register as an issuer, obligor and/or agent to submit documents to EMMA, please provide a valid e-mail address below to continue the registration process.
All users that received an invitation code via e-mail from MSRB must enter an e-mail address and the invitation coded below. If these fields have been pre-populated for you, click Next.
Existing users of MSRB Gateway may use their existing credentials to register for the continuing disclosure submission service and to edit existing roles within Gateway. Click below to enter your credentials.
Please be advised that all actions taken on MSRB systems, including but not limited to the EMMA system, by a user through a User Account shall be your responsibility.
New Users
E-mail Address*: msrbdev4@gmail.com
Invitation code**:
* required
** Applies only to users who received an invitation code from MSRB via e-mail.
Existing Users Login
Next

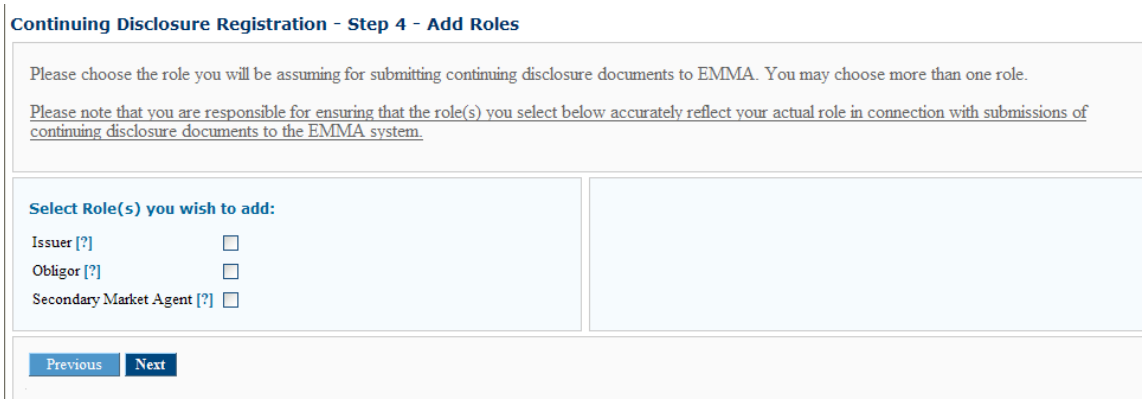
After selecting "Next," a registration application form will be shown that captures the user-level information. Complete the user-level information and select "Next."


Continuing Disclosure Registration - Step 2 - User Information
Please fill out your personal information including name, e-mail address, phone number and address.
Please be advised that if you submit a continuing disclosure document to the EMMA system and do not include separate issuer or obligor contact information during the submission process, then your own contact information as provided on this and/or the next page will be displayed on the EMMA public website in connection with such submission.
First Name:* Test
Last Name:* Account
E-mail Address:* msrbdev4@gmail.com
Confirm E-mail:* msrbdev4@gmail.com
Title:
Department:
Phone Number:* 234 - 234 - 7894 Ext.
Fax Number:
Address1:* 1 Any Street
Address2:
City:* Any
State:* ST
Zip:* 12345
Country:

The screen for organization-level information will appear. Complete the organization-level information. To reduce the amount of re-keying of identical data, select "copy values from user details" to populate the fields with user-level information.. A dialogue box will confirm this action.


Continuing Disclosure Registration - Step 3 - Organization Information
Please provide your organization's details. If this information is the same as your personal information, click on Copy values from user details.
Note: If you are not associated with an organization, please enter your first and last name in the Organization Name field.
Copy values from user details
Organization Name:*
Phone Number:*
Fax Number:
Address 1:*
Address 2:
City:*
State:*
Zip:*
Country:
Any
ST
12345
* required
Previous
Next
Windows Internet Explorer
Are you sure you want to populate organization details with values from user details? (This will overwrite currently entered values.)
OK
Cancel

If you select "OK", the information will pre-populate most of the mandatory fields. You must ensure that organization-level information is populated. Once complete, select "Next" and on the next screen, select the appropriate continuing disclosure role(s) and select "Next."


Continuing Disclosure Registration - Step 4 - Add Roles
Please choose the role you will be assuming for submitting continuing disclosure documents to EMMA. You may choose more than one role.
Please note that you are responsible for ensuring that the role(s) you select below accurately reflect your actual role in connection with submissions of continuing disclosure documents to the EMMA system.
Select Role(s) you wish to add:
Issuer [?]
Obligor [?]
Secondary Market Agent [?]
Previous
Next

At this point you will be given the option to become confirmed. Choose to proceed by using either the electronic or manual confirmation processes. Note, the confirmation process is not required to be completed prior to making a continuing disclosure

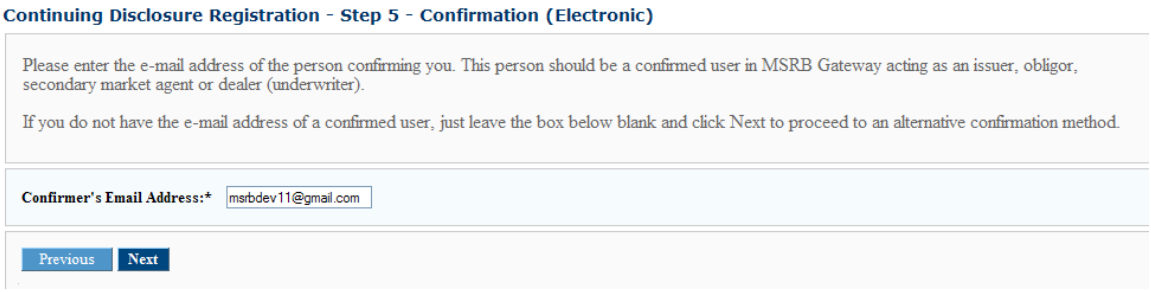
submission; however, any submissions made prior to becoming confirmed will be flagged on EMMA as an “unconfirmed” submission.

2.1.2 Confirmation Process

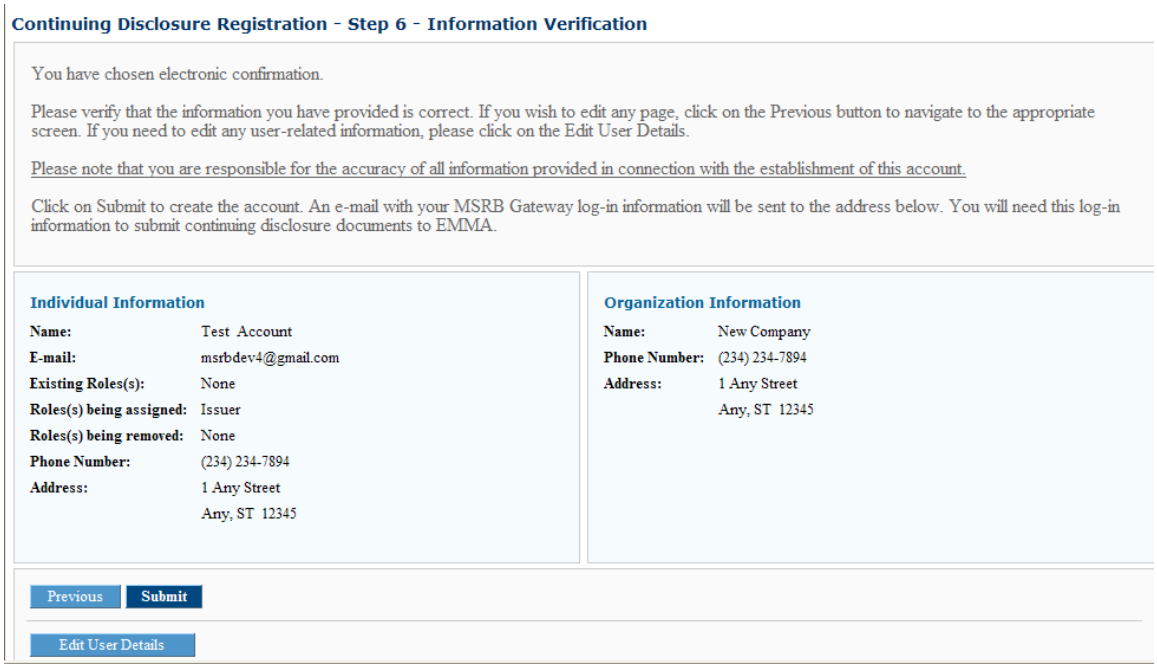
There are two ways to become confirmed: manual confirmation by the MSRB or electronic confirmation by another confirmed user. Since the manual process requires physically mailing or faxing a document to the MSRB, one advantage to using the electronic process is that the user may become confirmed in a shorter amount of time. However choosing electronic confirmation requires that a user designate an existing confirmed user for purposes of confirmation. If such a confirmed user is not known, the manual confirmation process must be followed.

2.1.2A Electronic Confirmation Process

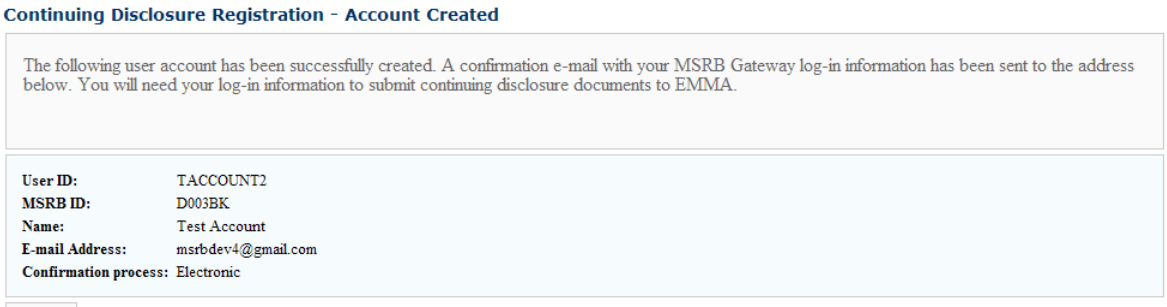
Enter a confirmed user’s email address and select “Next.”


Continuing Disclosure Registration - Step 5 - Confirmation (Electronic)
Please enter the e-mail address of the person confirming you. This person should be a confirmed user in MSRB Gateway acting as an issuer, obligor, secondary market agent or dealer (underwriter).
If you do not have the e-mail address of a confirmed user, just leave the box below blank and click Next to proceed to an alternative confirmation method.
Confirmer's Email Address:*
msrbdev11@gmail.com
Previous
Next

If the email address is successfully entered, a confirmation screen will display your user-level and organization-level information as well as the fact that you have selected the electronic confirmation process. An error message will appear and the confirmation process will not proceed if either of the following is found: (a) the email address you entered for the confirmed user is not known to MSRB Gateway, or (b) the email address you entered is known to Gateway but the user is not confirmed.


Continuing Disclosure Registration - Step 6 - Information Verification
You have chosen electronic confirmation.
Please verify that the information you have provided is correct. If you wish to edit any page, click on the Previous button to navigate to the appropriate screen. If you need to edit any user-related information, please click on the Edit User Details.
Please note that you are responsible for the accuracy of all information provided in connection with the establishment of this account.
Click on Submit to create the account. An e-mail with your MSRB Gateway log-in information will be sent to the address below. You will need this log-in information to submit continuing disclosure documents to EMMA.
Individual Information
Name: Test Account
E-mail: msrbdev4@gmail.com
Existing Roles(s): None
Roles(s) being assigned: Issuer
Roles(s) being removed: None
Phone Number: (234) 234-7894
Address: 1 Any Street
Any, ST 12345
Organization Information
Name: New Company
Phone Number: (234) 234-7894
Address: 1 Any Street
Any, ST 12345
Previous
Submit
Edit User Details

Review the information on the confirmation screen to ensure that the information is correct. Select "Edit User Details" if any information needs to be edited. If the information is correct, select "Submit."

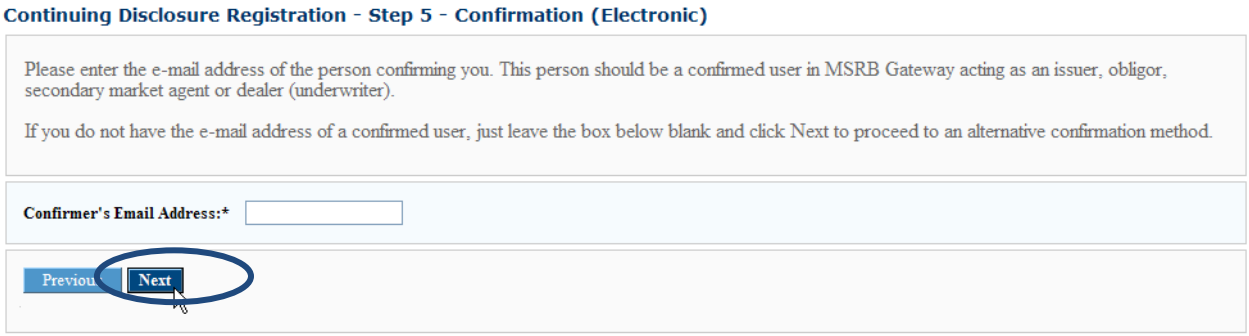

Continuing Disclosure Registration - Account Created
The following user account has been successfully created. A confirmation e-mail with your MSRB Gateway log-in information has been sent to the address below. You will need your log-in information to submit continuing disclosure documents to EMMA.
User ID: TACCOUNT2
MSRB ID: D003BK
Name: Test Account
E-mail Address: msrbdev4@gmail.com
Confirmation process: Electronic

The next screen will indicate that your user account has been created and state the electronic confirmation process was selected.. You will also receive an MSRB Gateway system-generated email stating that a user account is registered in MSRB Gateway for making secondary market submissions. The email will contain a User ID# and a hyperlink to retrieve your password. You must follow the hyperlink to complete the registration process.

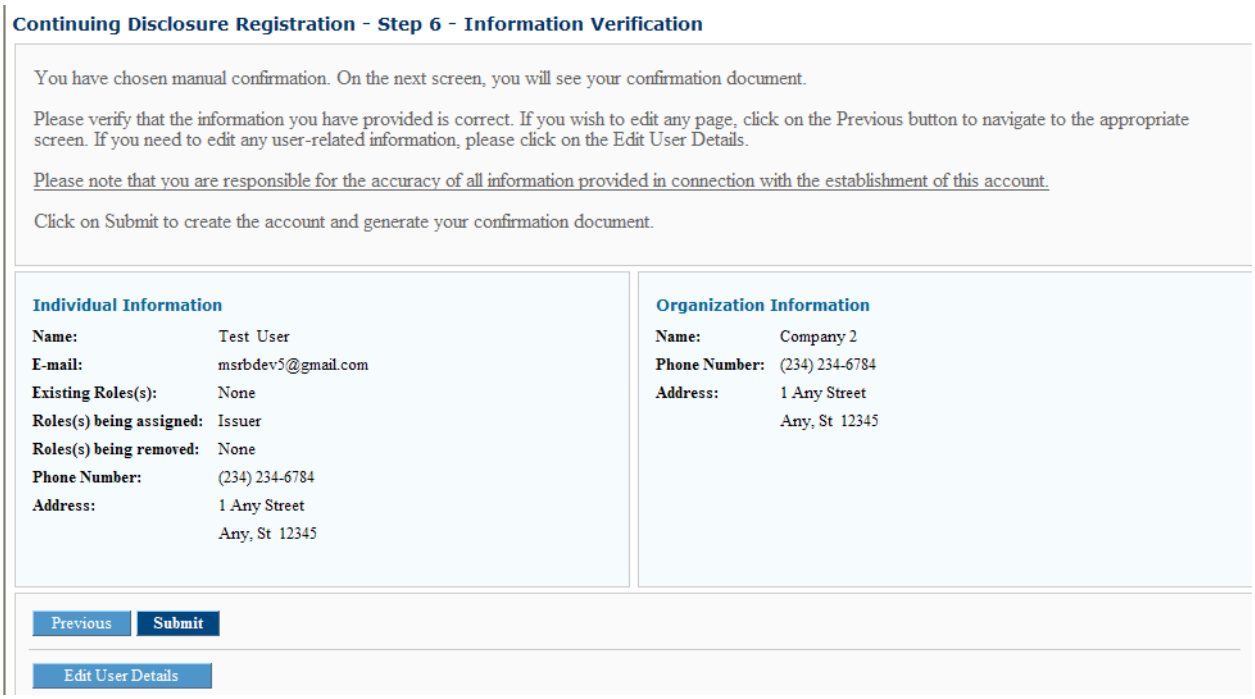
Note that a user will not be confirmed using the electronic confirmation process until the confirmer takes action, as described in Section 2.2.2. An e-mail will be sent to the requestor acknowledging when its account becomes confirmed.

2.1.2B Manual Confirmation Process

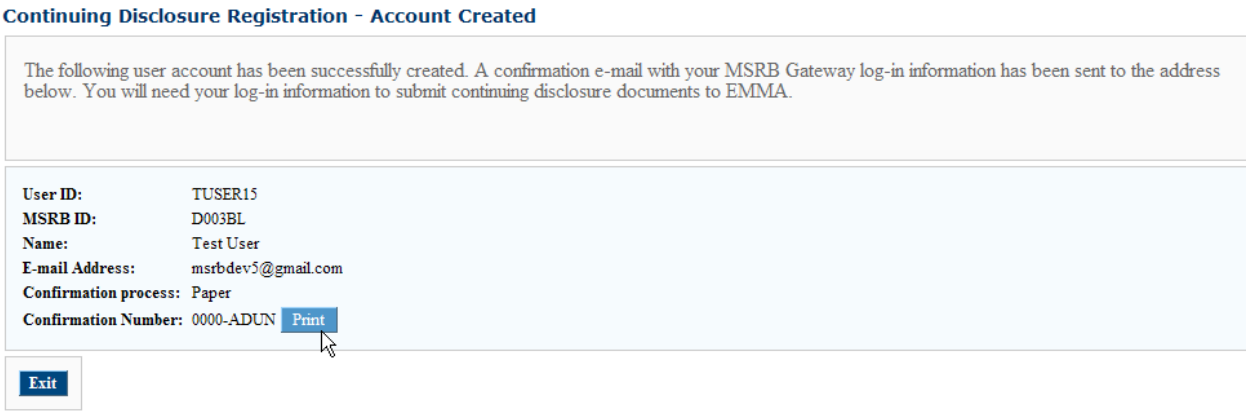
To be confirmed manually, leave the "confirmer's email address" field blank and select "Next."


Continuing Disclosure Registration - Step 5 - Confirmation (Electronic)
Please enter the e-mail address of the person confirming you. This person should be a confirmed user in MSRB Gateway acting as an issuer, obligor, secondary market agent or dealer (underwriter).
If you do not have the e-mail address of a confirmed user, just leave the box below blank and click Next to proceed to an alternative confirmation method.
Confirmer's Email Address:*
Previou
Next

A confirmation screen will display your user-level and organization-level information as well as the fact that you have selected the manual confirmation process. Review the information on the screen and confirm that the information is correct. If the information needs to be updated select "Edit User Details." Once all information is correct, select "Submit."

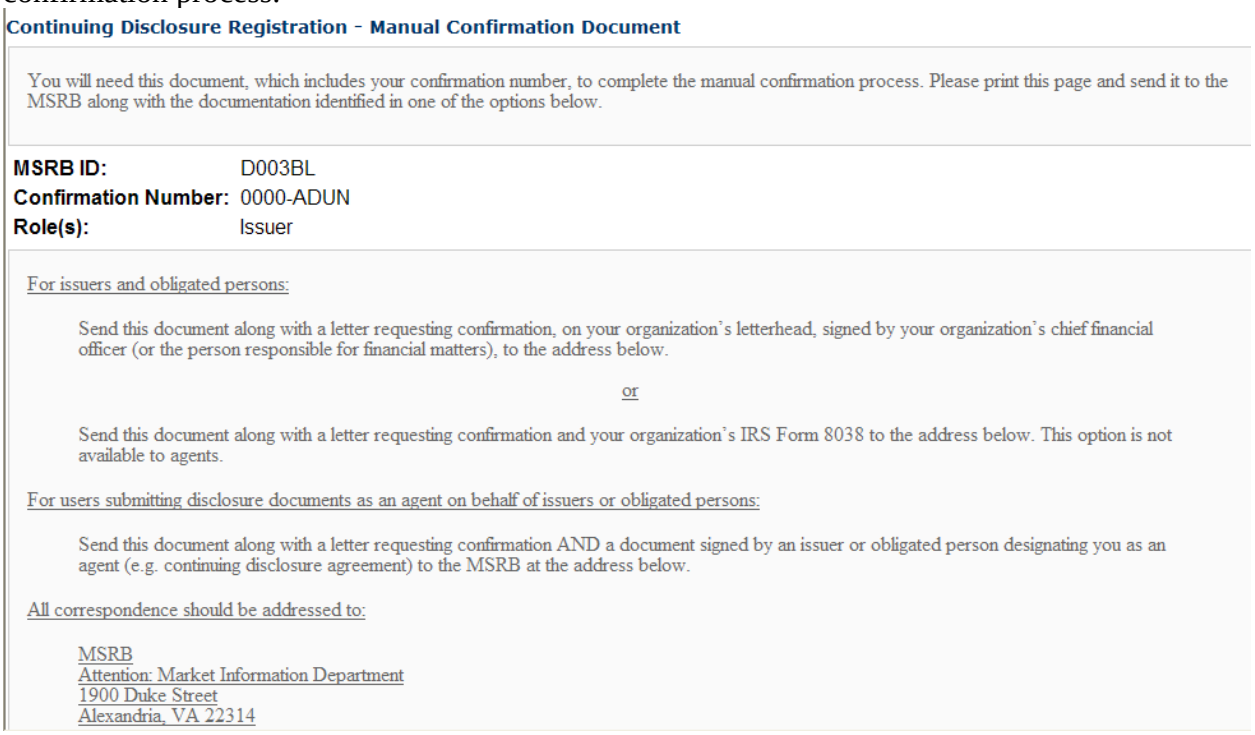

Continuing Disclosure Registration - Step 6 - Information Verification
You have chosen manual confirmation. On the next screen, you will see your confirmation document.
Please verify that the information you have provided is correct. If you wish to edit any page, click on the Previous button to navigate to the appropriate screen. If you need to edit any user-related information, please click on the Edit User Details.
Please note that you are responsible for the accuracy of all information provided in connection with the establishment of this account.
Click on Submit to create the account and generate your confirmation document.
Individual Information
Name: Test User
E-mail: msrbdev5@gmail.com
Existing Roles(s): None
Roles(s) being assigned: Issuer
Roles(s) being removed: None
Phone Number: (234) 234-6784
Address: 1 Any Street
Any, St 12345
Organization Information
Name: Company 2
Phone Number: (234) 234-6784
Address: 1 Any Street
Any, St 12345
Previous
Submit
Edit User Details

The next screen will indicate that your user account has been created and state that you chose the manual confirmation process. You will also receive an MSRB Gateway system-generated email stating that a user account is registered in MSRB Gateway for making secondary market submissions. The email will contain a User-ID and a hyperlink to retrieve your password, which must be followed to complete the registration process. Click "Submit" to proceed with the manual confirmation process.


Continuing Disclosure Registration - Account Created
The following user account has been successfully created. A confirmation e-mail with your MSRB Gateway log-in information has been sent to the address below. You will need your log-in information to submit continuing disclosure documents to EMMA.
User ID: TUSER15
MSRB ID: D003BL
Name: Test User
E-mail Address: msrbdev5@gmail.com
Confirmation process: Paper
Confirmation Number: 0000-ADUN
Print
Exit

Click on "Print" to retrieve the manual confirmation document.

Retain the printed document and follow the instructions on the document to complete the confirmation process.


Continuing Disclosure Registration - Manual Confirmation Document
You will need this document, which includes your confirmation number, to complete the manual confirmation process. Please print this page and send it to the MSRB along with the documentation identified in one of the options below.
MSRB ID: D003BL
Confirmation Number: 0000-ADUN
Role(s): Issuer
For issuers and obligated persons:
Send this document along with a letter requesting confirmation, on your organization's letterhead, signed by your organization's chief financial officer (or the person responsible for financial matters), to the address below.
or
Send this document along with a letter requesting confirmation and your organization's IRS Form 8038 to the address below. This option is not available to agents.
For users submitting disclosure documents as an agent on behalf of issuers or obligated persons:
Send this document along with a letter requesting confirmation AND a document signed by an issuer or obligated person designating you as an agent (e.g. continuing disclosure agreement) to the MSRB at the address below.
All correspondence should be addressed to:
MSRB
Attention: Market Information Department
1900 Duke Street
Alexandria, VA 22314

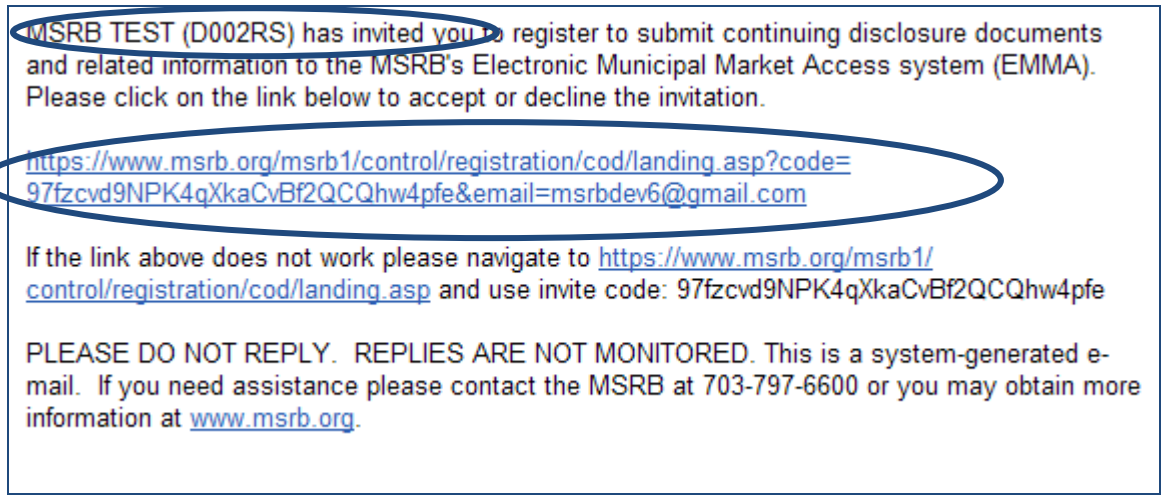
Note that user will not be confirmed until the MSRB has received the information requested in the manual confirmation document. An e-mail will be sent to the user acknowledging when its account becomes confirmed.

2.2 Issuer, Obligor, and Secondary Market Agent Registration and Confirmation – By Email Invitation

A user that is registered to make secondary market submissions can invite an issuer, obligor or secondary market agent to also make secondary market submissions. The purpose of the email invitation function is to allow users to alert other potential users to the continuing disclosure submission service of EMMA. The email invitation function also allows a user that is confirmed, as described in Section 2.1, to easily confirm other users. Invitations may only be sent to invitees that are not registered. An invitee that accepts an invitation from a confirmed inviter is automatically confirmed.

2.2.1 Responding to an Invitation to Register

If an issuer, obligor, or secondary market agent has been invited by another user to make secondary market submissions, they will receive an email informing them that that they have been invited to register to make secondary market submissions. As shown in the sample email below, the email identifies the inviter and includes a hyperlink that the invitee will use to accept the invitation.



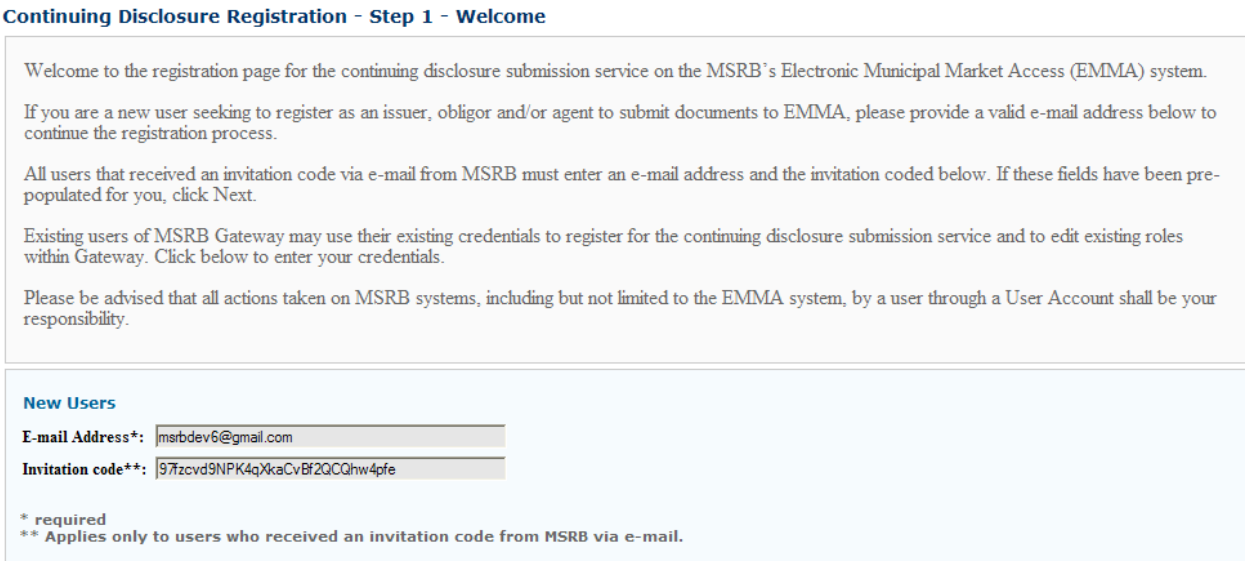
MSRB TEST (D002RS) has invited you to register to submit continuing disclosure documents and related information to the MSRB's Electronic Municipal Market Access system (EMMA). Please click on the link below to accept or decline the invitation.

https://www.msrb.org/msrb1/control/registration/cod/landing.asp?code=97fzcvd9NPK4qXkaCvBf2QCQhw4pfe&email=msrbdev6@gmail.com

If the link above does not work please navigate to https://www.msrb.org/msrb1/control/registration/cod/landing.asp and use invite code: 97fzcvd9NPK4qXkaCvBf2QCQhw4pfe

PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. This is a system-generated e-mail. If you need assistance please contact the MSRB at 703-797-6600 or you may obtain more information at www.msrb.org.

When the invitee selects the hyperlink from the e-mail, a web page with the invitee's e-mail address and invitation code will be shown. Verify the e-mail address and select "Next."


Continuing Disclosure Registration - Step 1 - Welcome
Welcome to the registration page for the continuing disclosure submission service on the MSRB's Electronic Municipal Market Access (EMMA) system.
If you are a new user seeking to register as an issuer, obligor and/or agent to submit documents to EMMA, please provide a valid e-mail address below to continue the registration process.
All users that received an invitation code via e-mail from MSRB must enter an e-mail address and the invitation coded below. If these fields have been pre-populated for you, click Next.
Existing users of MSRB Gateway may use their existing credentials to register for the continuing disclosure submission service and to edit existing roles within Gateway. Click below to enter your credentials.
Please be advised that all actions taken on MSRB systems, including but not limited to the EMMA system, by a user through a User Account shall be your responsibility.
New Users
E-mail Address*: msrbdev6@gmail.com
Invitation code**: 97fzcvd9NPK4qXkaCvBf2QCQhw4pfe
* required
** Applies only to users who received an invitation code from MSRB via e-mail.

After clicking "Next", the invitee will be directed to step 2 of the registration process and will follow the steps in Section 2.1.1 which covers the registration process.

2.2.2 Responding to an Invitation to Confirm Another User

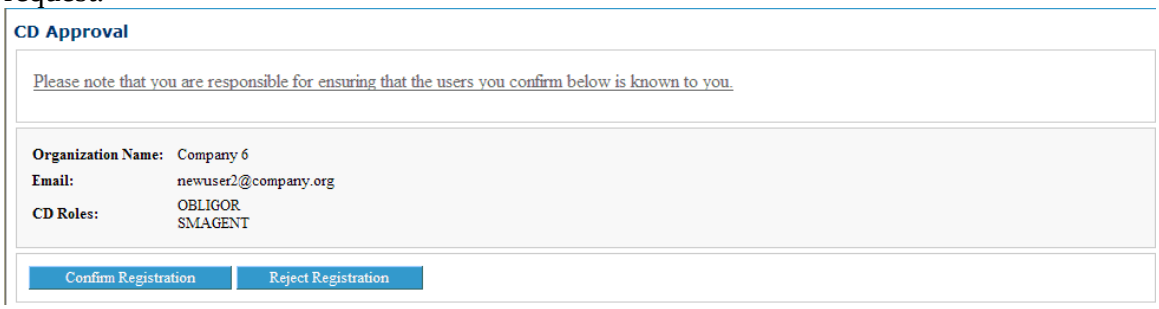
Through the electronic confirmation process in Section 2.1, a user may request confirmation from a confirmed user. The confirmed user will receive an e-mail noting the request for confirmation. The confirmed user must log-in to MSRB Gateway and select the "Manage Continuing Disclosure Requests" option from the MSRB Gateway main menu.

MSRB Gateway Main Menu
Welcome to MSRB Gateway! Your User Account has the following Access Rights:
(Click on a section to expand)
[−] Account and Organization Management
› Manage Organization Profile
View and edit organization level details.
› Manage Continuing Disclosure Requests
Process confirmation requests and invite agents for CD submissions.
› Add / Remove Roles for Continuing Disclosure Service
[−] Market Information Systems
Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.
› EMMA Dataport
Submit documents and information to EMMA.
My Profile
Edit
User ID: TUSER10
Role: User
User Name: TEST USER
Organization Name Company 6
MSRB ID
Email Address:
Change Password

If you are a confirmed user and log-in in response to a request from another user to be confirmed, this screen shows all pending requests for confirmation.

Continuing Disclosure Confirmation/Invitation
Pending Confirmation Requests: These are the request from CD users to confirm for a CD role (Issuer/Obligor/Secondary Market Agent).
Invite user for CD Submissions: You may send an invite to a user by proving user's email address. On the next screen you wil be asked to select a CD role (Issuer/Obligor/Secondary Market Agent) to invite user for.
Pending Continuing Disclosure Confirmations (What's this?)
MSRB ID
Name
Action
D0012A
NEW USER
Confirm
Invite user for Continuing Disclosure submissions (What's this?)
Email:
Invite for Continuing Disclosure

Select "Confirm" to go to the next screen, where you will confirm the user or reject the request.


CD Approval
Please note that you are responsible for ensuring that the users you confirm below is known to you.
Organization Name: Company 6
Email: newuser2@company.org
CD Roles: OBLIGOR
SMAGENT
Confirm Registration
Reject Registration

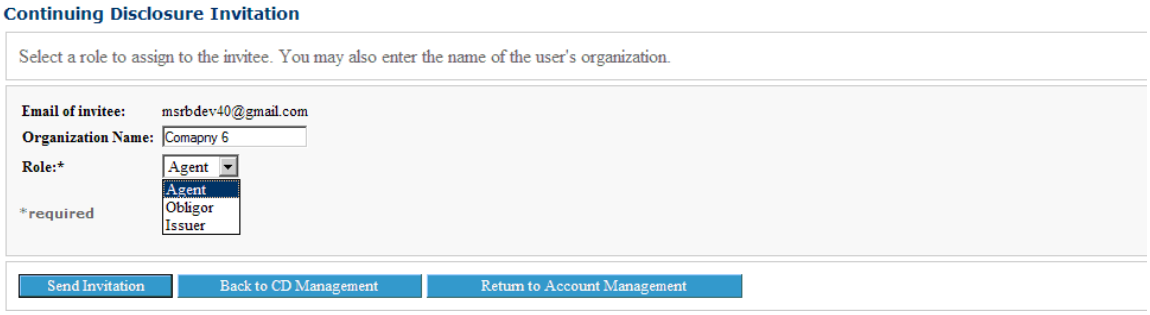
To confirm the user, select "Confirm Registration." To reject the user's request, select "Reject Registration." A screen will appear noting the action and an email will be sent to the user that requested confirmation.

2.2.3 Sending an Invitation

To initiate the invitation and confirmation process, log-in to MSRB Gateway, and from the MSRB Gateway main menu, select "Manage Continuing Disclosure Requests."

MSRB Gateway Main Menu
Welcome to MSRB Gateway! Your User Account has the following Access Rights:
(Click on a section to expand)
[−] Account and Organization Management
Manage Organization Profile
Manage Continuing Disclosure Requests
Process confirmation requests and invite agents for CD submissions
[−] Market Information Systems
Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.
EMMA Dataport
Submit documents and information to EMMA.
My Profile
Edit
User ID: TUSER10
Role: User
User Name: TEST USER
Organization Name Company 6
MSRB ID
Email Address:
Change Password

After selecting this option, enter the e-mail address of the issuer, obligor, or secondary market agent to whom you would like to send an invitation. Enter the email address and select "Invite for Continuing Disclosure." On the following screen enter the company name and role(s) that the invitee will assume and select "Send Invitation."

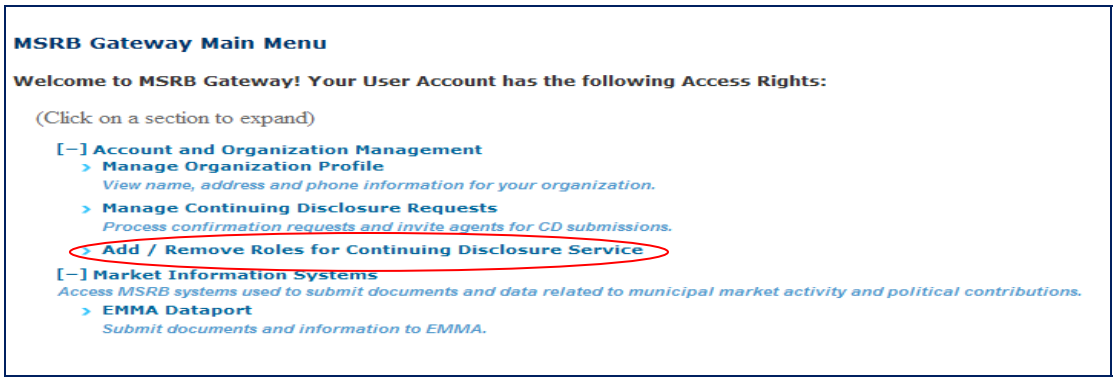


MSRB Gateway will check to see whether the invitee is already a registered and confirmed user. If the invite has an MSRB Gateway account and is already registered and confirmed to make continuing disclosure submissions, the next screen will alert the user to the fact that an invitation cannot be sent since the invited user is already registered and confirmed. If the invitee does not have an existing MSRB Gateway account or is not confirmed, the next screen will confirm that the invitation has been sent.

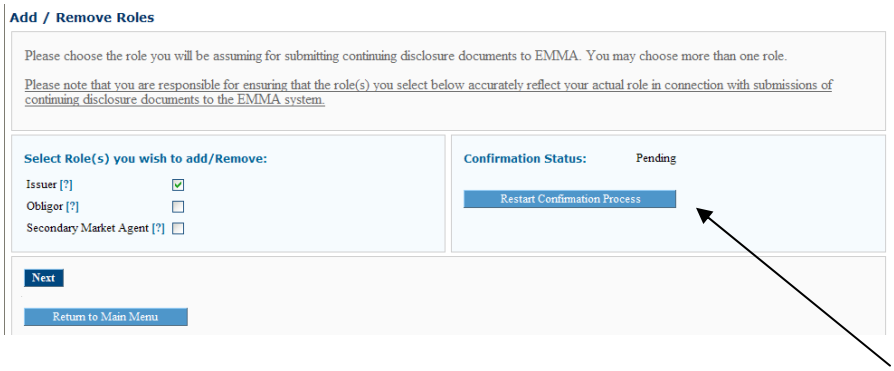
2.3 Starting/Reinitiating the Confirmation Process

Users who are currently registered but not yet confirmed, or who would like to reinitiate the confirmation process may use the following steps to get confirmed:

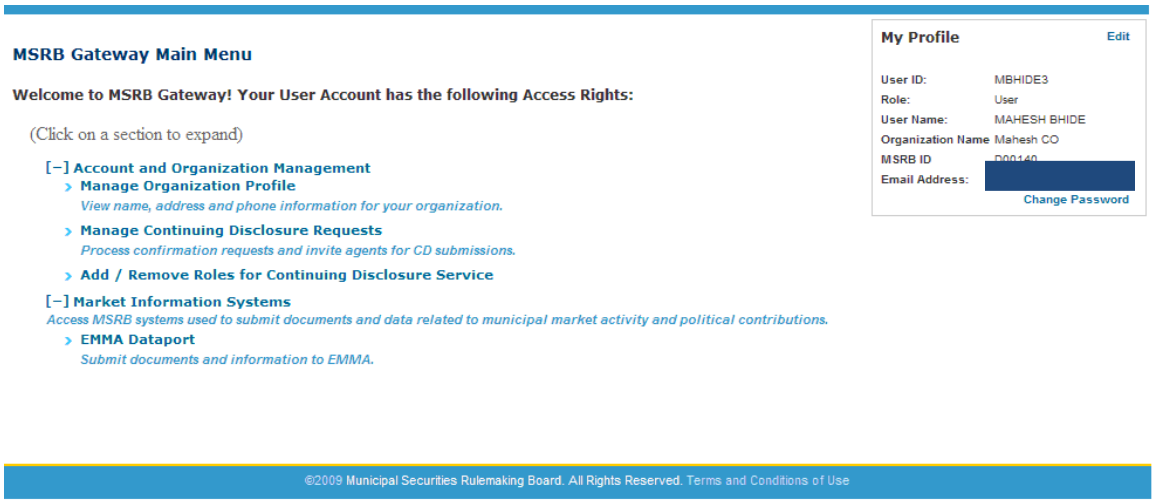
1. Log into Gateway
2. On the Gateway main menu click on the link "Add/Remove Roles for Continuing Disclosure Service"


MSRB Gateway Main Menu
Welcome to MSRB Gateway! Your User Account has the following Access Rights:
(Click on a section to expand)
[−] Account and Organization Management
Manage Organization Profile
View name, address and phone information for your organization.
Manage Continuing Disclosure Requests
Process confirmation requests and invite agents for CD submissions.
Add / Remove Roles for Continuing Disclosure Service
[−] Market Information Systems
Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.
EMMA Dataport
Submit documents and information to EMMA.

The screen will show that your confirmation status is pending.


Add / Remove Roles
Please choose the role you will be assuming for submitting continuing disclosure documents to EMMA. You may choose more than one role.
Please note that you are responsible for ensuring that the role(s) you select below accurately reflect your actual role in connection with submissions of continuing disclosure documents to the EMMA system.
Select Role(s) you wish to add/Remove:
Issuer [?]
Obligor [?]
Secondary Market Agent [?]
Confirmation Status: Pending
Restart Confirmation Process
Next
Return to Main Menu

If the user is unconfirmed and now seeks confirmation, the button will read "Initiate the confirmation process." Click on this button to start the process. If the user's confirmation is in pending status (awaiting confirmation from a confirmed user via the electronic confirmation process, or the MSRB via the manual confirmation process), the button will read "Restart the Confirmation Process." The user can restart the confirmation process by clicking on the button and will be given the option to proceed with electronic confirmation or manual confirmation.


MSRB Gateway Main Menu
Welcome to MSRB Gateway! Your User Account has the following Access Rights:
(Click on a section to expand)
[−] Account and Organization Management
Manage Organization Profile
View name, address and phone information for your organization.
Manage Continuing Disclosure Requests
Process confirmation requests and invite agents for CD submissions.
Add / Remove Roles for Continuing Disclosure Service
[−] Market Information Systems
Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.
EMMA Dataport
Submit documents and information to EMMA.
My Profile
Edit
User ID: MBHIDE3
Role: User
User Name: MAHESH BHIDE
Organization Name Mahesh CO
MSRB ID
Email Address:
Change Password
©2009 Municipal Securities Rulemaking Board. All Rights Reserved. Terms and Conditions of Use

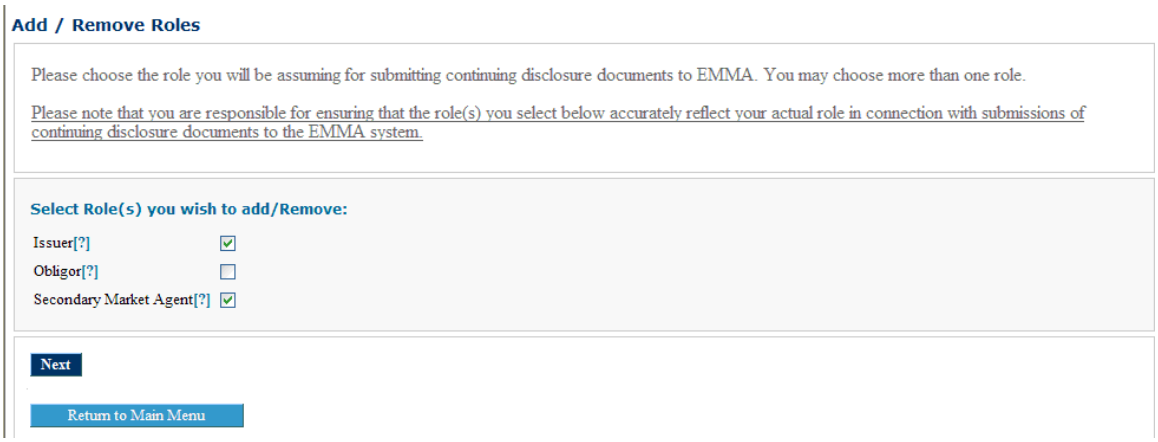
2.4 Continuing Disclosure Account Management – View/Update Account Information

Once registered in MSRB Gateway, users may view and modify account details. All information in MSRB Gateway must be kept current. To view and modify account details, log-in to MSRB Gateway and the Main Menu screen will be shown.

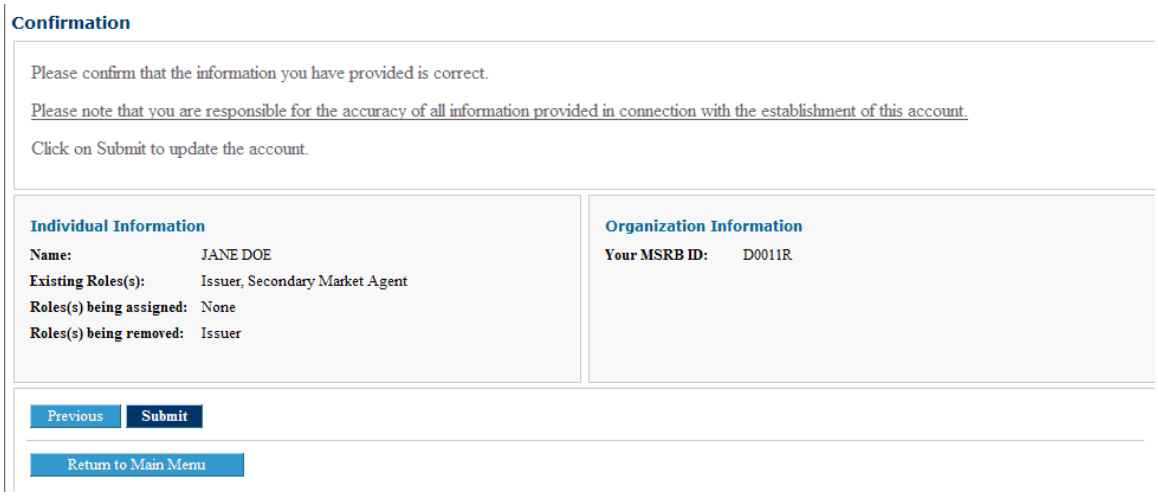
MSRB Gateway Main Menu
Welcome to MSRB Gateway! Your User Account has the following Access Rights:
(Click on a section to expand)
[−] Account and Organization Management
Manage Organization Profile
View and edit organization level details.
Add / Remove Roles for Continuing Disclosure Service
[−] Market Information Systems
Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.
EMMA Dataport
Submit documents and information to EMMA.
My Profile
Edit
User ID: JDOE3
Role: User
User Name: JANE DOE
Organization Name: Company B
Email Address: [redacted]
Change Password

2.4.2 View/Update Continuing Disclosure Roles

To view or update roles of a user in making continuing disclosure submissions to EMMA, under the "Account and Organization Management" heading, select "Add/Remove Roles for Continuing Disclosure Service."


Add / Remove Roles
Please choose the role you will be assuming for submitting continuing disclosure documents to EMMA. You may choose more than one role.
Please note that you are responsible for ensuring that the role(s) you select below accurately reflect your actual role in connection with submissions of continuing disclosure documents to the EMMA system.
Select Role(s) you wish to add/Remove:
Issuer[?]
Obligor[?]
Secondary Market Agent[?]
Next
Return to Main Menu

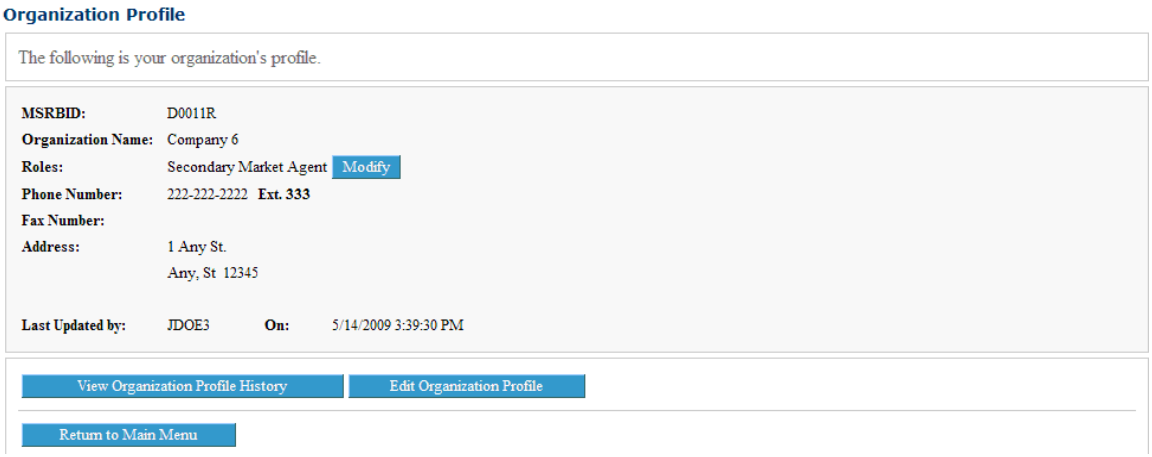
You can select or deselect roles. After making changes, select "Next."


Confirmation
Please confirm that the information you have provided is correct.
Please note that you are responsible for the accuracy of all information provided in connection with the establishment of this account.
Click on Submit to update the account.
Individual Information
Name: JANE DOE
Existing Roles(s): Issuer, Secondary Market Agent
Roles(s) being assigned: None
Roles(s) being removed: Issuer
Organization Information
Your MSRB ID: D0011R
Previous
Submit
Return to Main Menu

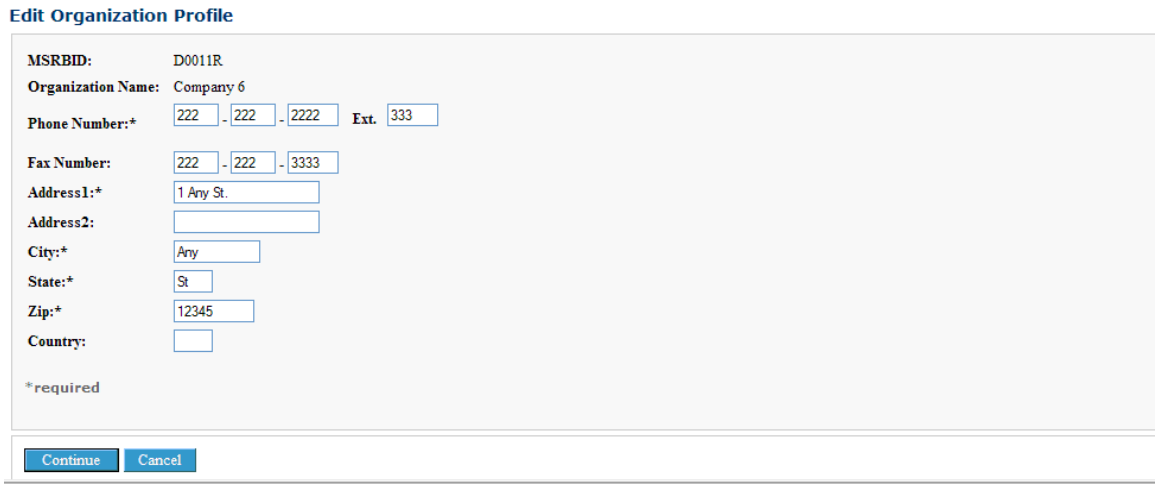
A confirmation screen reflecting the updates will be displayed. Select "Submit" to proceed with the account updates. The next screen will confirm that the account was updated. An email also will be sent confirming updates to the account.

2.4.3 View/Update Organization-Level Information

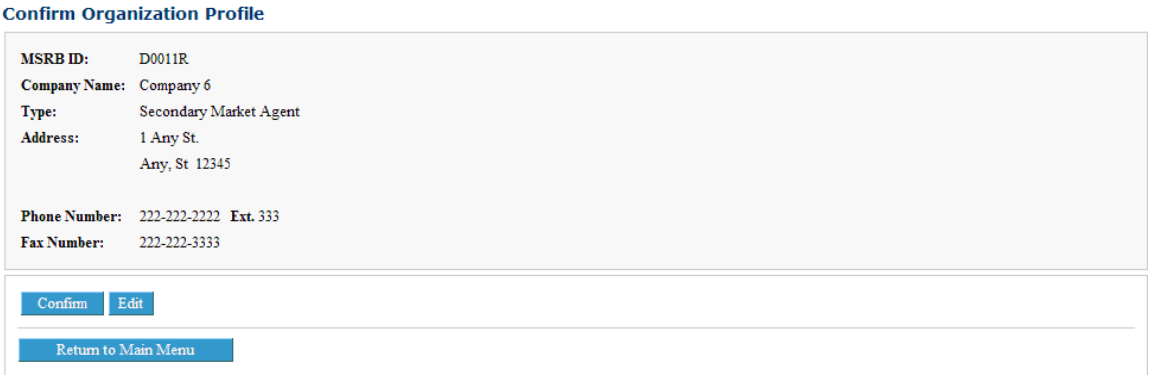
You can update your organization-level information (entered during registration in Section 2.1) by selecting "Manage Organization Profile" under the "Account and Organization Management" heading.


Organization Profile
The following is your organization's profile.
MSRBID: D0011R
Organization Name: Company 6
Roles: Secondary Market Agent Modify
Phone Number: 222-222-2222 Ext. 333
Fax Number:
Address: 1 Any St.
Any, St 12345
Last Updated by: JDOE3 On: 5/14/2009 3:39:30 PM
View Organization Profile History
Edit Organization Profile
Return to Main Menu

The Organization Profile will be shown. Select "Edit Organization Profile" to make changes. *Note that selecting "Modify" next to Roles allows a user to update continuing disclosure roles.*



All organization-level information may be updated on this screen with the exception of the MSRB ID and Organization Name. Enter updated information and select "Continue" to proceed with the updates, or "Cancel" to exit this screen without entering updates.



A confirmation screen reflecting the updates will be displayed. Select "Confirm" to proceed with the account updates. The next screen will confirm that the account was updated. An e-mail also will be sent confirming updates to the account.

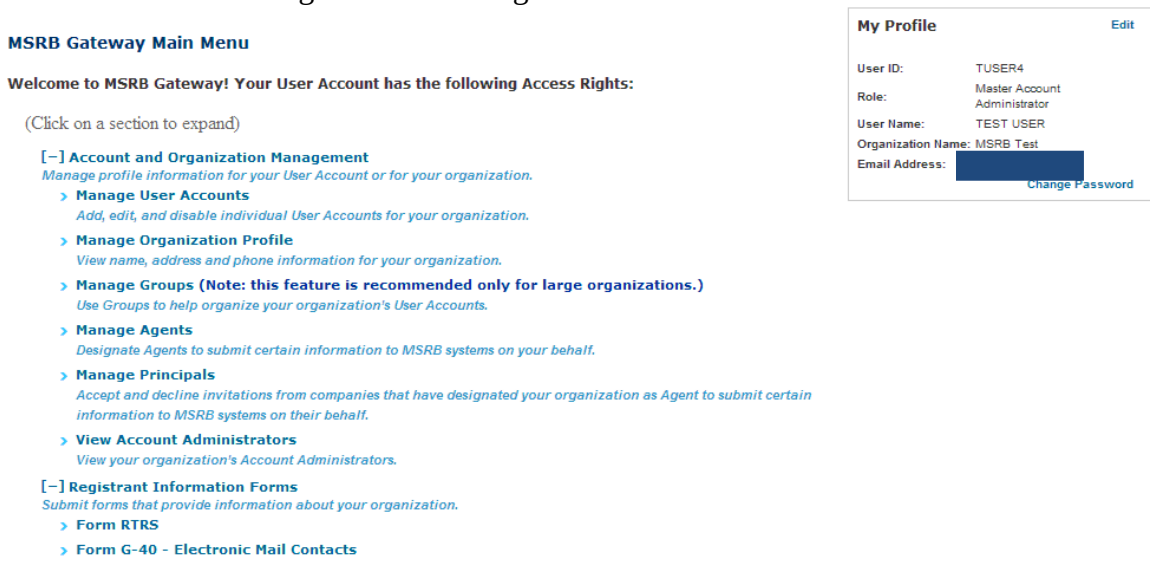
2.5 Continuing Disclosure Submission Registration by Dealer and Primary Market Agent

A dealer or agent for primary market submissions already has its organization-level information in MSRB Gateway and therefore is not required to follow the complete registration and confirmation process. However, all user accounts, whether new or pre-existing, must be granted "EMMA Secondary Market Submissions" account access rights before making continuing disclosure submissions.

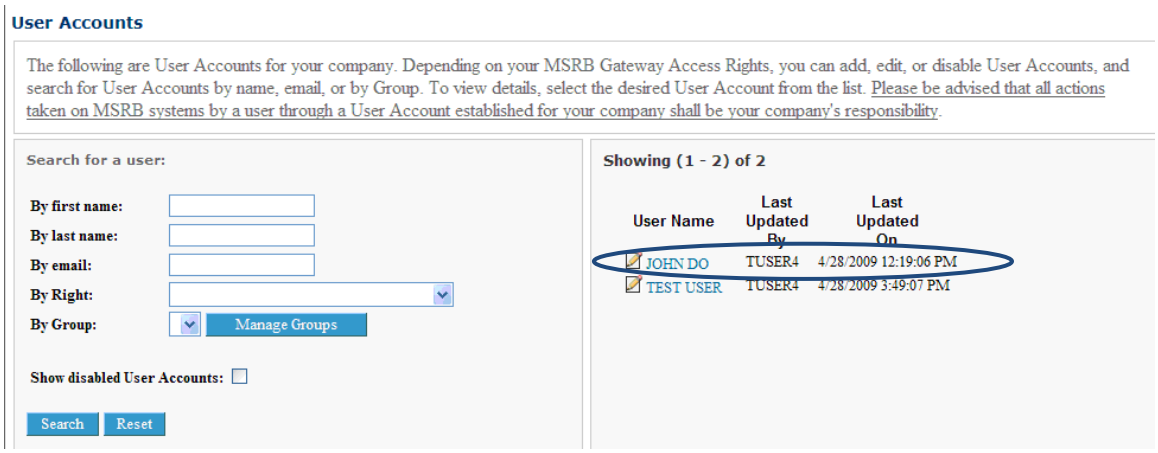
2.5.1 Granting Continuing Disclosure Submission Account Access Rights – Dealer and Agent for Primary Market Submissions

The Master Account Administrator or an Account Administrator of a dealer or primary market agent can grant "EMMA Secondary Market Submissions" account access rights to any account within the organization to allow the user to make continuing disclosure submissions. To grant account access rights to an existing account, the Master Account Administrator or Account Administrator must edit the account.
To grant "EMMA Secondary Market Submissions" account access right to a new user, create a new user account by following the instructions provided in the "User Account Management User Manual" located on MSRB Gateway log-in page, and grant the user "EMMA Secondary Market Submissions" account access rights.

On the MSRB Gateway Main Menu, select the "Manage User Accounts" option under "Account and Organization Management."

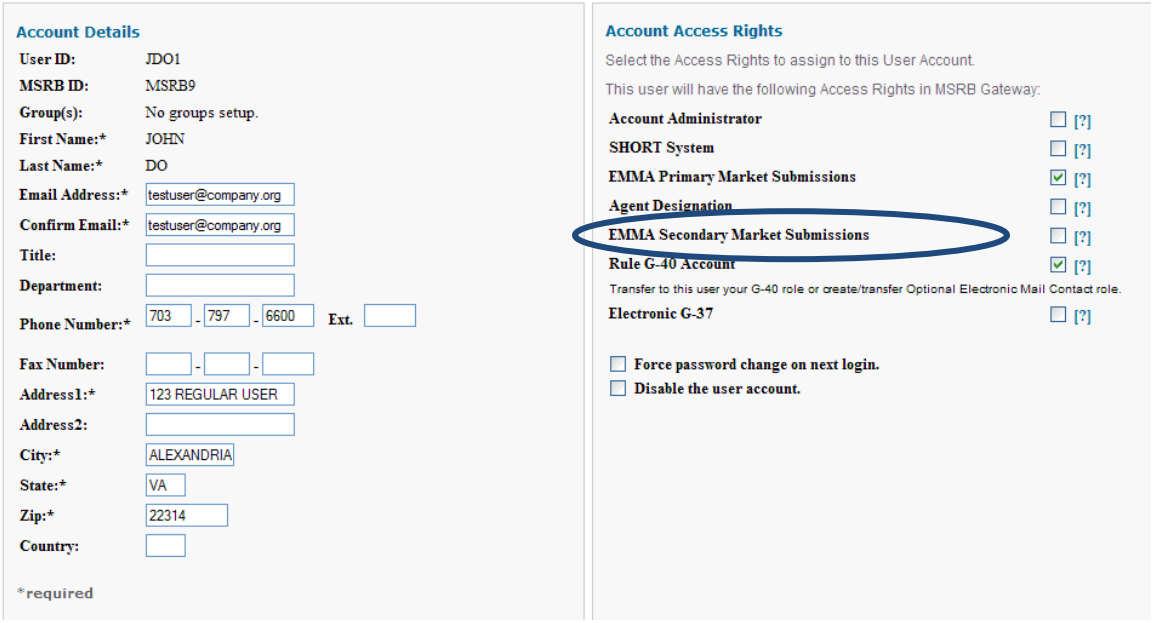

My Profile
Edit
User ID: TUSER4
Role: Master Account Administrator
User Name: TEST USER
Organization Name: MSRB Test
Email Address: [redacted]
Change Password
MSRB Gateway Main Menu
Welcome to MSRB Gateway! Your User Account has the following Access Rights:
(Click on a section to expand)
[−] Account and Organization Management
Manage profile information for your User Account or for your organization.
Manage User Accounts
Add, edit, and disable individual User Accounts for your organization.
Manage Organization Profile
View name, address and phone information for your organization.
Manage Groups (Note: this feature is recommended only for large organizations.)
Use Groups to help organize your organization's User Accounts.
Manage Agents
Designate Agents to submit certain information to MSRB systems on your behalf.
Manage Principals
Accept and decline invitations from companies that have designated your organization as Agent to submit certain information to MSRB systems on their behalf.
View Account Administrators
View your organization's Account Administrators.
[−] Registrant Information Forms
Submit forms that provide information about your organization.
Form RTRS
Form G-40 - Electronic Mail Contacts

Select the appropriate user account.


User Accounts
The following are User Accounts for your company. Depending on your MSRB Gateway Access Rights, you can add, edit, or disable User Accounts, and search for User Accounts by name, email, or by Group. To view details, select the desired User Account from the list. Please be advised that all actions taken on MSRB systems by a user through a User Account established for your company shall be your company's responsibility.
Search for a user:
By first name:
By last name:
By email:
By Right:
By Group:
Manage Groups
Show disabled User Accounts:
Search
Reset
Showing (1 - 2) of 2
User Name
Last Updated By
Last Updated On
JOHN DO
TUSER4
4/28/2009 12:19:06 PM
TEST USER
TUSER4
4/28/2009 3:49:07 PM

Select "Edit User Account" to make updates to the account.

On the following screen, grant the user "EMMA Secondary Market Submissions" by selecting the account access right and select "Confirm."

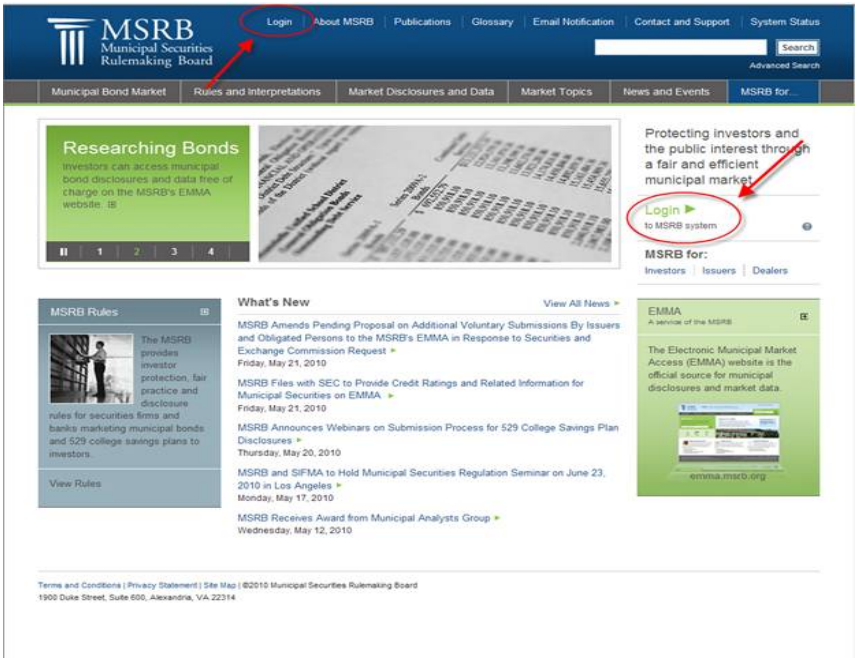


3 Logging into EMMA

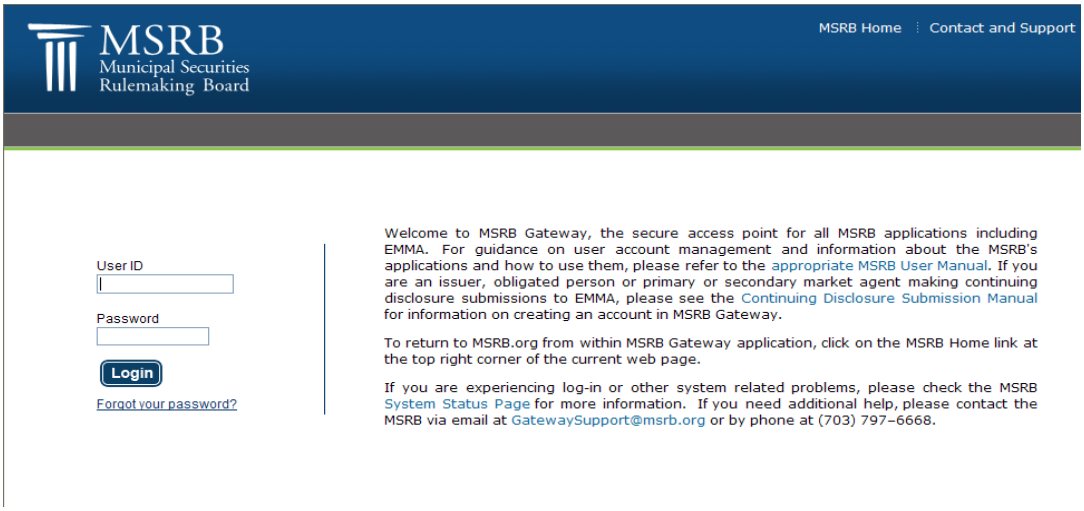
Logging into EMMA to make a continuing disclosure submission can be done by either of two routes.

3.1 Log in from MSRB Gateway

From the MSRB home page (www.msrb.org) select “Login.”


MSRB
Municipal Securities Rulemaking Board
Login
About MSRB
Publications
Glossary
Email Notification
Contact and Support
System Status
Search
Advanced Search
Municipal Bond Market
Rules and Interpretations
Market Disclosures and Data
Market Topics
News and Events
MSRB for...
Researching Bonds
Investors can access municipal bond disclosures and data free of charge on the MSRB's EMMA website.
Protecting investors and the public interest through a fair and efficient municipal market
Login
to MSRB system
MSRB for:
Investors
Issuers
Dealers
MSRB Rules
The MSRB provides investor protection, fair practice and disclosure rules for securities firms and banks marketing municipal bonds and 529 college savings plans to investors.
View Rules
What's New
View All News
MSRB Amends Pending Proposal on Additional Voluntary Submissions By Issuers and Obligated Persons to the MSRB's EMMA in Response to Securities and Exchange Commission Request
Friday, May 21, 2010
MSRB Files with SEC to Provide Credit Ratings and Related Information for Municipal Securities on EMMA
Friday, May 21, 2010
MSRB Announces Webinars on Submission Process for 529 College Savings Plan Disclosures
Thursday, May 20, 2010
MSRB and SIFMA to Hold Municipal Securities Regulation Seminar on June 23, 2010 in Los Angeles
Monday, May 17, 2010
MSRB Receives Award from Municipal Analysts Group
Wednesday, May 12, 2010
EMMA
A service of the MSRB
The Electronic Municipal Market Access (EMMA) website is the official source for municipal disclosures and market data.
emma.msrb.org
Terms and Conditions | Privacy Statement | Site Map | ©2010 Municipal Securities Rulemaking Board
1900 Duke Street, Suite 600, Alexandria, VA 22314

Enter the User ID and Password and select “Login.”

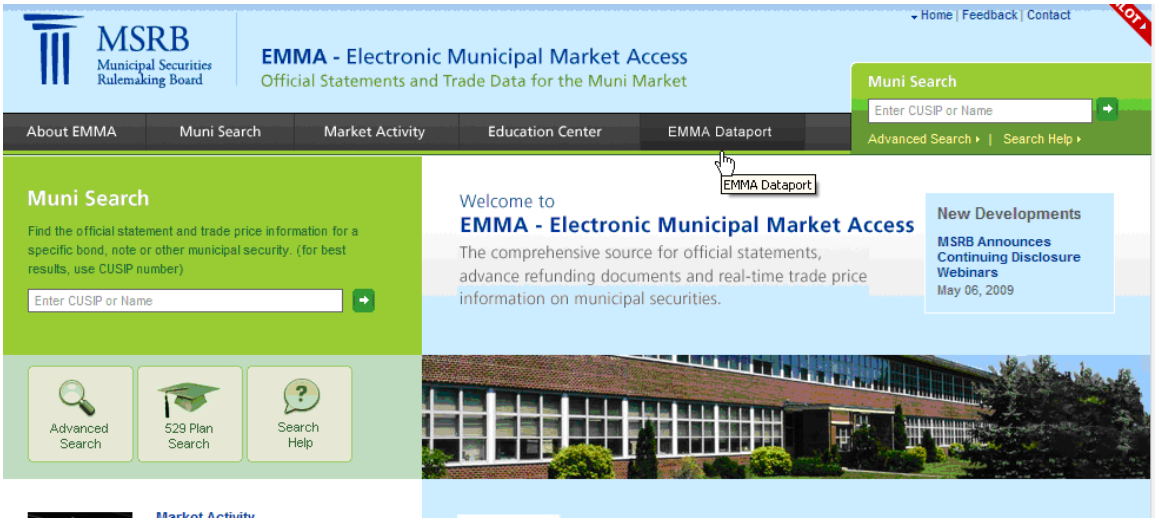

MSRB
Municipal Securities Rulemaking Board
MSRB Home
Contact and Support
User ID
Password
Login
Forgot your password?
Welcome to MSRB Gateway, the secure access point for all MSRB applications including EMMA. For guidance on user account management and information about the MSRB's applications and how to use them, please refer to the appropriate MSRB User Manual. If you are an issuer, obligated person or primary or secondary market agent making continuing disclosure submissions to EMMA, please see the Continuing Disclosure Submission Manual for information on creating an account in MSRB Gateway.
To return to MSRB.org from within MSRB Gateway application, click on the MSRB Home link at the top right corner of the current web page.
If you are experiencing log-in or other system related problems, please check the MSRB System Status Page for more information. If you need additional help, please contact the MSRB via email at GatewaySupport@msrb.org or by phone at (703) 797-6668.

From the MSRB Gateway Main Menu, select the “EMMA Dataport” option under the “Market Information Systems” heading.

MSRB Gateway Main Menu
Welcome to MSRB Gateway! Your User Account has the following Access Rights:
(Click on a section to expand)
[−] Account and Organization Management
Manage Organization Profile
View name, address and phone information for your organization.
Add / Remove Roles for Continuing Disclosure Service
[−] Market Information Systems
Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.
EMMA Dataport
Submit documents and information to EMMA.
My Profile
View
User ID: JDOE3
Role: User
User Name: JANE DOE
Organization Name: Company 6
Email Address:
Change Password

3.2 Log in from the EMMA Dataport

From the EMMA home page (emma.msrb.org) select the "EMMA Dataport" tab and the top of the page. The EMMA Dataport main screen appears.


MSRB
Municipal Securities Rulemaking Board
EMMA - Electronic Municipal Market Access
Official Statements and Trade Data for the Muni Market
Home | Feedback | Contact
Muni Search
Enter CUSIP or Name
Advanced Search | Search Help
About EMMA
Muni Search
Market Activity
Education Center
EMMA Dataport
EMMA Dataport
Muni Search
Find the official statement and trade price information for a specific bond, note or other municipal security. (for best results, use CUSIP number)
Enter CUSIP or Name
Welcome to
EMMA - Electronic Municipal Market Access
The comprehensive source for official statements, advance refunding documents and real-time trade price information on municipal securities.
New Developments
MSRB Announces Continuing Disclosure Webinars
May 06, 2009
Advanced Search
529 Plan Search
Search Help

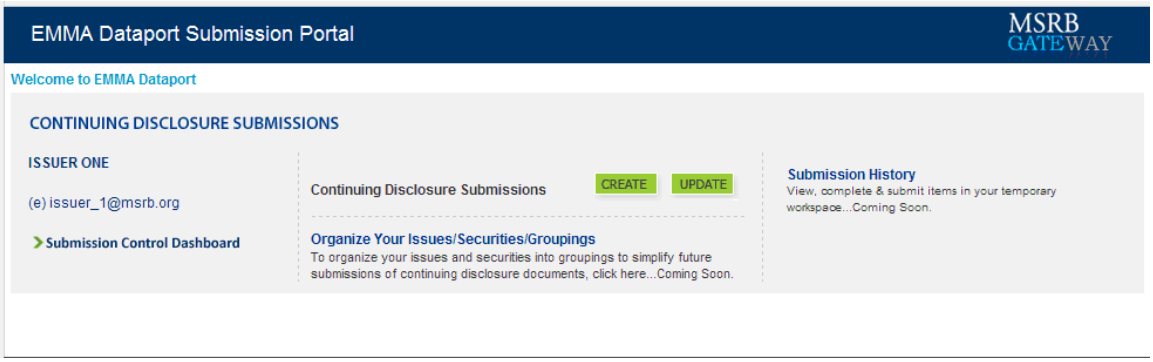
Selecting "Login" will take you to the Gateway log-in page. Entering the correct User ID and Password will automatically return you to the EMMA Dataport.

MSRB
Municipal Securities Rulemaking Board
EMMA - Electronic Municipal Market Access
Official Statements and Trade Data for the Muni Market
Home | Feedback | Contact
Muni Search
Enter CUSIP or Name
Advanced Search | Search Help
About EMMA
Muni Search
Market Activity
Education Center
EMMA Dataport
Home > EMMA Dataport > Overview
EMMA Dataport
MSRB GATEWAY
Overview
About EMMA Submissions
Primary Market Document Submissions
Primary Market FAQs
Continuing Disclosure Submissions
Continuing Disclosure FAQs
Document Submissions to EMMA and Real-Time Subscriptions
Municipal bond underwriters and issuers must provide the MSRB with electronic documents to be posted on the EMMA website. Document submissions are made through a utility called the EMMA Dataport, which also exports real-time feeds containing EMMA documents and data. For additional information about underwriter and issuer submission of
MSRB GATEWAY
Access EMMA to Submit Documents
LOGIN
Register to Submit Continuing Disclosures
View MSRB Manuals

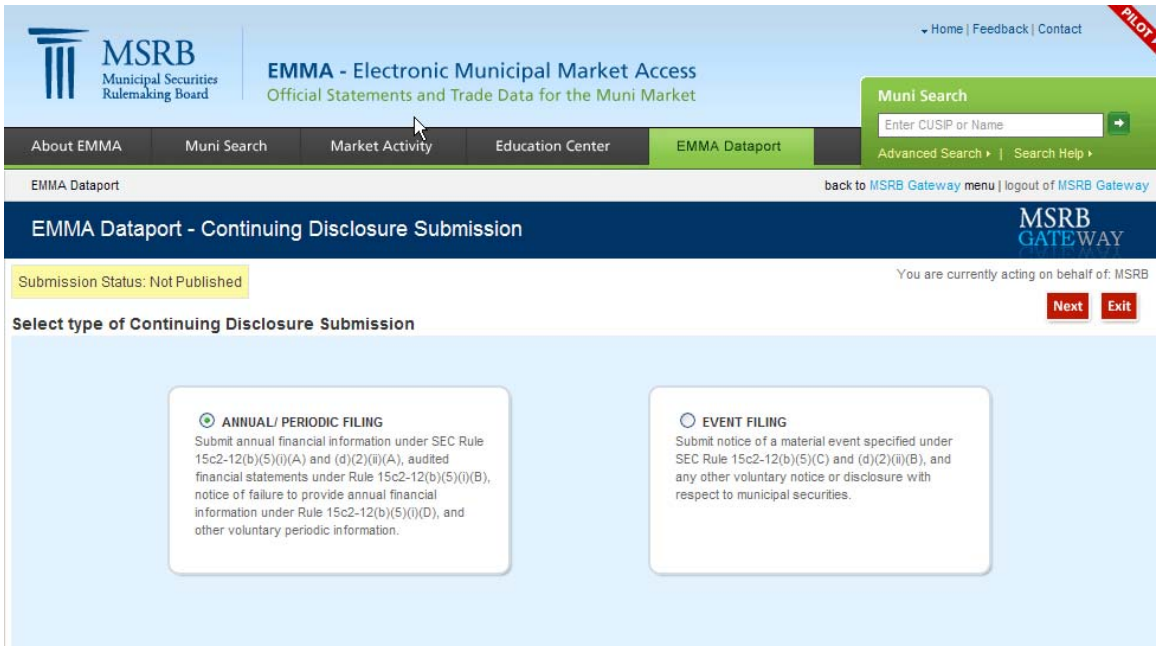
Both of the above routes for logging in lead to the EMMA Dataport Continuing Disclosure Submissions screen.

4 Making a Continuing Disclosure Submission

The Continuing Disclosure Submissions screen, shown below, appears immediately after you login. Select the green "Create" button to start a submission.


EMMA Dataport Submission Portal
MSRB GATEWAY
Welcome to EMMA Dataport
CONTINUING DISCLOSURE SUBMISSIONS
ISSUER ONE
(e) issuer_1@msrb.org
Submission Control Dashboard
Continuing Disclosure Submissions
CREATE
UPDATE
Organize Your Issues/Securities/Groupings
To organize your issues and securities into groupings to simplify future submissions of continuing disclosure documents, click here...Coming Soon.
Submission History
View, complete & submit items in your temporary workspace...Coming Soon.

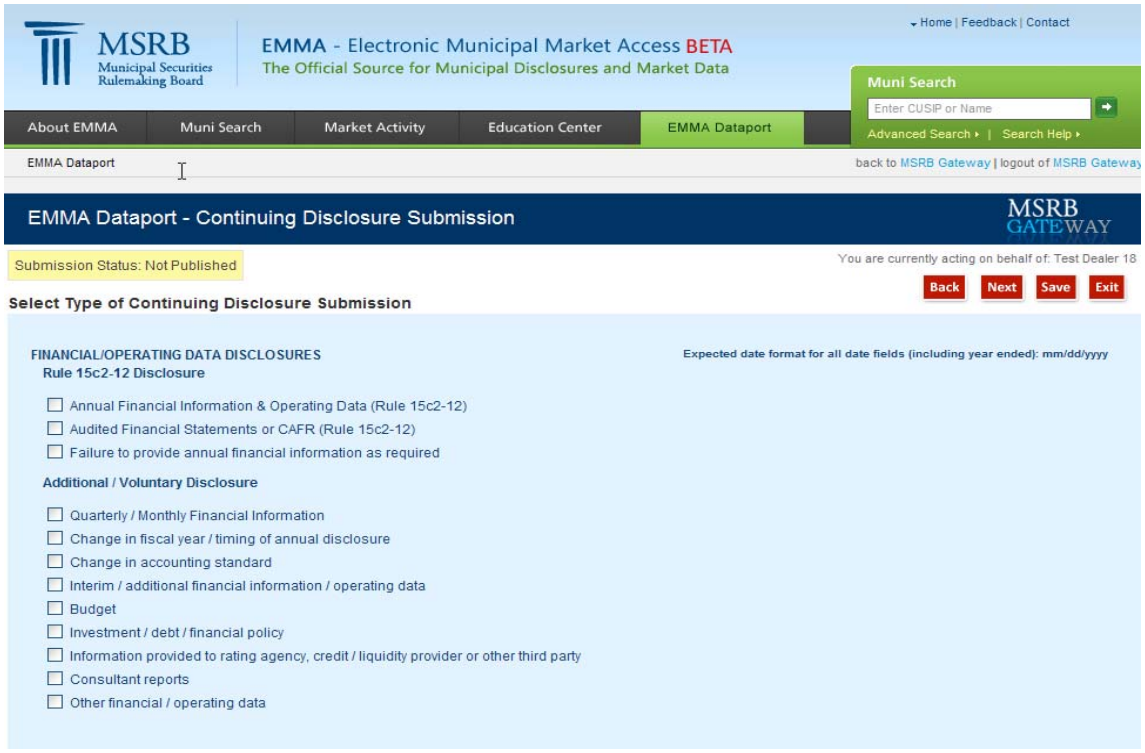
Begin by selecting the type of continuing disclosure you will submit: either an annual/periodic filing or event filing. Select the red "Next" button to proceed.


MSRB
Municipal Securities Rulemaking Board
EMMA - Electronic Municipal Market Access
Official Statements and Trade Data for the Muni Market
Home | Feedback | Contact
PILOT
Muni Search
Enter CUSIP or Name
Advanced Search | Search Help
About EMMA
Muni Search
Market Activity
Education Center
EMMA Dataport
EMMA Dataport
back to MSRB Gateway menu | logout of MSRB Gateway
EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: MSRB
Next
Exit
Select type of Continuing Disclosure Submission
ANNUAL/ PERIODIC FILING
Submit annual financial information under SEC Rule 15c2-12(b)(5)(i)(A) and (d)(2)(ii)(A), audited financial statements under Rule 15c2-12(b)(5)(i)(B), notice of failure to provide annual financial information under Rule 15c2-12(b)(5)(i)(D), and other voluntary periodic information.
EVENT FILING
Submit notice of a material event specified under SEC Rule 15c2-12(b)(5)(C) and (d)(2)(ii)(B), and any other voluntary notice or disclosure with respect to municipal securities.

4.1 Submitting an Annual or Periodic Filing

4.1.1 Selecting the Document Type

To submit an annual or periodic filing, select the disclosure type, as shown below. You may select multiple types of disclosure. An annual or periodic filing may be made pursuant to SEC Rule 15c2-12, or may be made in addition or voluntarily.


MSRB
Municipal Securities Rulemaking Board
EMMA - Electronic Municipal Market Access BETA
The Official Source for Municipal Disclosures and Market Data
Home | Feedback | Contact
Muni Search
Enter CUSIP or Name
Advanced Search | Search Help
About EMMA
Muni Search
Market Activity
Education Center
EMMA Dataport
EMMA Dataport
back to MSRB Gateway | logout of MSRB Gateway
EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Test Dealer 18
Back
Next
Save
Exit
Select Type of Continuing Disclosure Submission
FINANCIAL/OPERATING DATA DISCLOSURES
Rule 15c2-12 Disclosure
Expected date format for all date fields (including year ended): mm/dd/yyyy
Annual Financial Information & Operating Data (Rule 15c2-12)
Audited Financial Statements or CAFR (Rule 15c2-12)
Failure to provide annual financial information as required
Additional / Voluntary Disclosure
Quarterly / Monthly Financial Information
Change in fiscal year / timing of annual disclosure
Change in accounting standard
Interim / additional financial information / operating data
Budget
Investment / debt / financial policy
Information provided to rating agency, credit / liquidity provider or other third party
Consultant reports
Other financial / operating data

Enter the document title or other brief descriptive information in the free-text box labeled "Description" to provide additional details about the contents of the disclosure. Below the free text box, enter the period covered by the disclosure. All dates, including the "year ended," must be in the format mm/dd/yyyy. You may type the date or select a date from the calendar next to the date field. Both the text and date fields will appear in the EMMA public website in connection with the uploaded document.

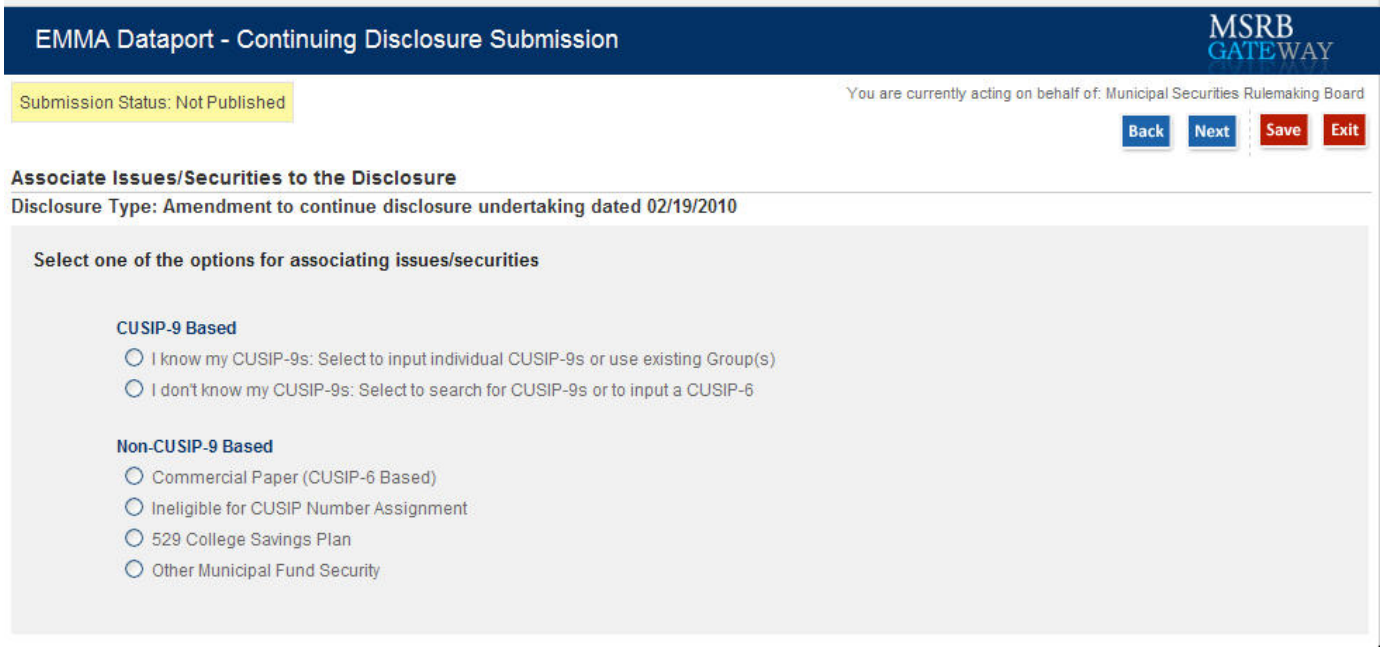
EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Municipal Securities Rulemaking Board
Back
Next
Save
Exit
Select Type of Continuing Disclosure Submission
FINANCIAL/OPERATING DATA DISCLOSURES
* indicates required fields
Expected date format for all date fields (including year ended): mm/dd/yyyy
Rule 15c2-12 Disclosure
Annual Financial Information & Operating Data (Rule 15c2-12)
Consisting of:
Year Ended
*
Audited Financial Statements or CAFR (Rule 15c2-12)
Failure to provide annual financial information as required
Additional / Voluntary Disclosure
Quarterly / Monthly Financial Information
Change in fiscal year / timing of annual disclosure
Change in accounting standard
Interim / additional financial information / operating data
Budget
Investment / debt / financial policy
Information provided to rating agency, credit / liquidity provider or other third party
Consultant reports
Other financial / operating data

4.1.2 Associating Issues or Securities to the Disclosure

Next you need to associate issues or securities to the disclosure. (Later in the process, you will be able to save the group of issues or securities so that you can reuse them in later submissions.) There are six separate paths to associate securities to the disclosure:

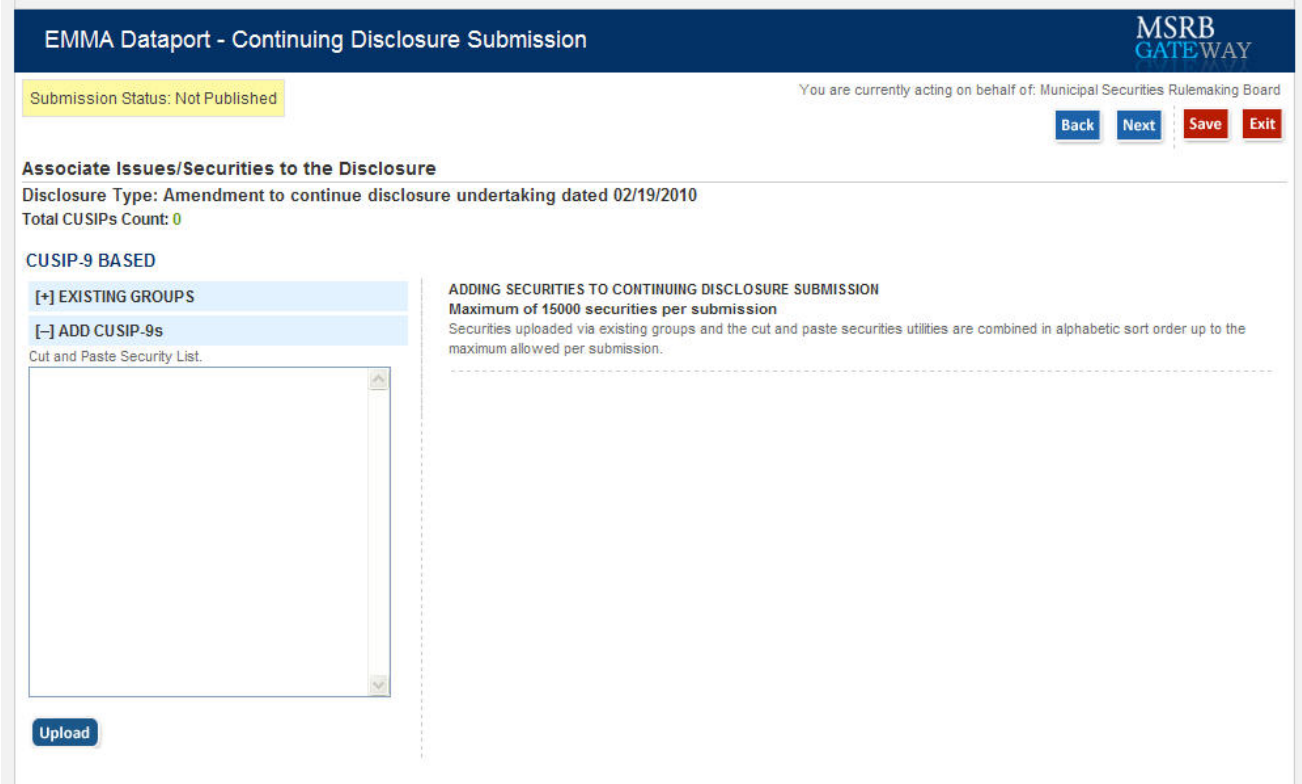
- **CUSIP-9 Based**: I know my CUSIP-9s, I don't know my CUSIP-9s;
- **Non-CUSIP-9 Based**: Commercial Paper, Ineligible for CUSIP, 529 College Savings Plan, and Other Municipal Fund Security.

Note that these paths cannot be combined in one submission.

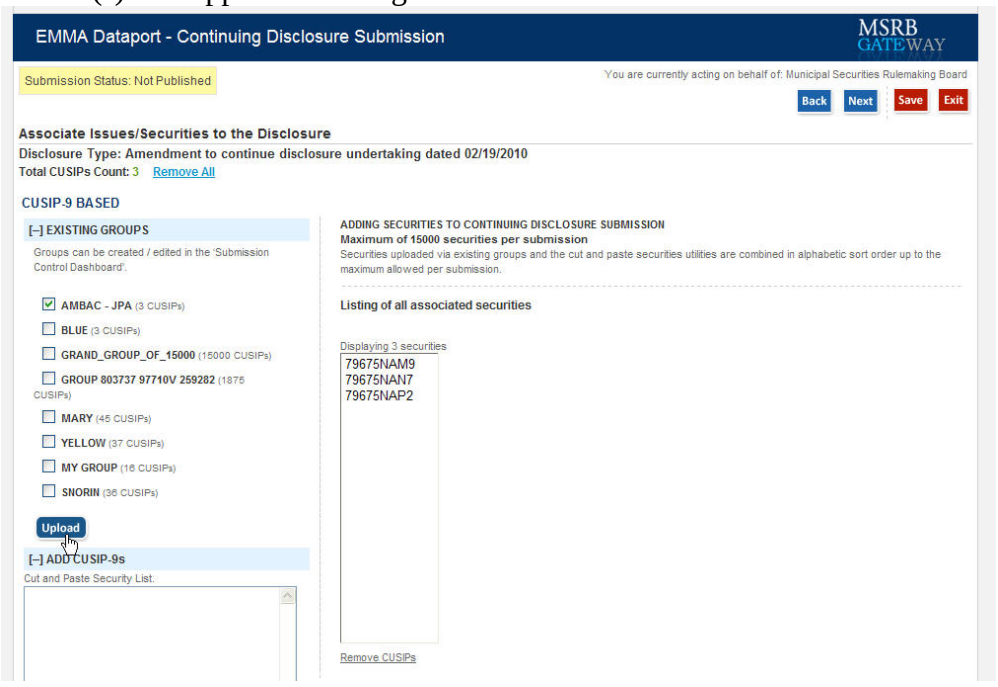

EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Municipal Securities Rulemaking Board
Back
Next
Save
Exit
Associate Issues/Securities to the Disclosure
Disclosure Type: Amendment to continue disclosure undertaking dated 02/19/2010
Select one of the options for associating issues/securities
CUSIP-9 Based
I know my CUSIP-9s: Select to input individual CUSIP-9s or use existing Group(s)
I don't know my CUSIP-9s: Select to search for CUSIP-9s or to input a CUSIP-6
Non-CUSIP-9 Based
Commercial Paper (CUSIP-6 Based)
Ineligible for CUSIP Number Assignment
529 College Savings Plan
Other Municipal Fund Security

4.1.2A I Know My CUSIP-9s

For "I Know My CUSIP-9s" you can select from existing Groups and/or use the bulk upload feature to add CUSIP-9s.


EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Municipal Securities Rulemaking Board
Back
Next
Save
Exit
Associate Issues/Securities to the Disclosure
Disclosure Type: Amendment to continue disclosure undertaking dated 02/19/2010
Total CUSIPs Count: 0
CUSIP-9 BASED
[+] EXISTING GROUPS
[–] ADD CUSIP-9s
Cut and Paste Security List.
Upload
ADDING SECURITIES TO CONTINUING DISCLOSURE SUBMISSION
Maximum of 15000 securities per submission
Securities uploaded via existing groups and the cut and paste securities utilities are combined in alphabetic sort order up to the maximum allowed per submission.

To use existing groups select the group and then select “Upload”, and the corresponding CUSIP(s) will appear on the right hand side in a list.


EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Municipal Securities Rulemaking Board
Back
Next
Save
Exit
Associate Issues/Securities to the Disclosure
Disclosure Type: Amendment to continue disclosure undertaking dated 02/19/2010
Total CUSIPs Count: 3 Remove All
CUSIP-9 BASED
[–] EXISTING GROUPS
Groups can be created / edited in the 'Submission Control Dashboard'.
AMBAC - JPA (3 CUSIPs)
BLUE (3 CUSIPs)
GRAND_GROUP_OF_15000 (15000 CUSIPs)
GROUP 803737 97710V 259282 (1875 CUSIPs)
MARY (45 CUSIPs)
YELLOW (37 CUSIPs)
MY GROUP (16 CUSIPs)
SNORIN (36 CUSIPs)
Upload
[–] ADD CUSIP-9s
Cut and Paste Security List.
ADDING SECURITIES TO CONTINUING DISCLOSURE SUBMISSION
Maximum of 15000 securities per submission
Securities uploaded via existing groups and the cut and paste securities utilities are combined in alphabetic sort order up to the maximum allowed per submission.
Listing of all associated securities
Displaying 3 securities
79675NAM9
79675NAN7
79675NAP2
Remove CUSIPs

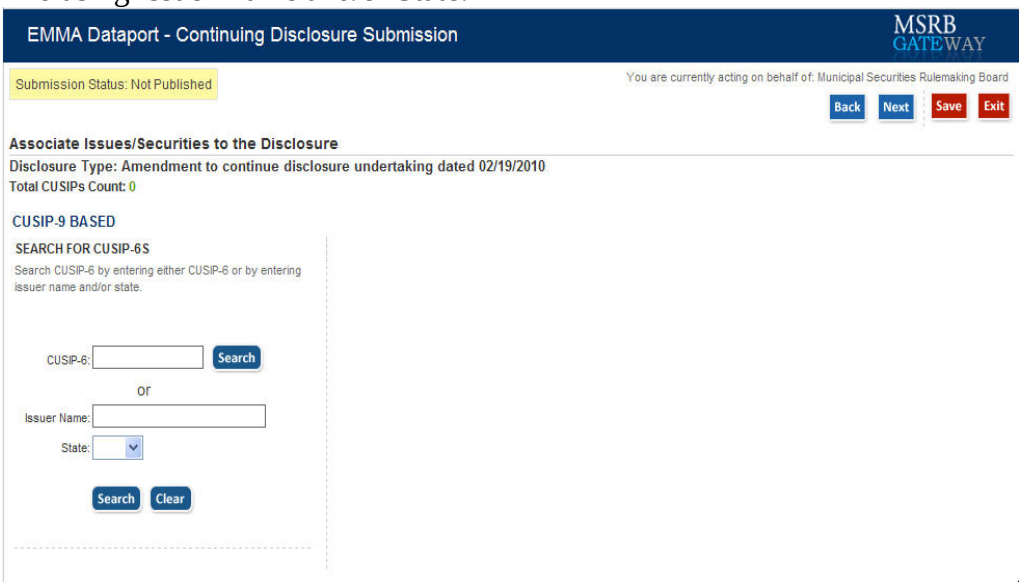
To use the bulk upload function, paste the CUSIP-9s into the text box on the left hand side of the screen. The copy-and-paste functionality includes a wide variety of delimiters to separate securities, including but not limited to semicolon, comma and carriage return. Select the blue "Upload" button and the securities will appear on the right-hand side of the screen. Verify that the CUSIPs listed are accurate. To remove a CUSIP-9, highlight the CUSIP(s) and click the "Remove CUSIP 9" link below the Securities List.

Up to 1,500 CUSIPs can be pasted in the text box on the left hand side of the screen, and a total of 15,000 CUSIPs are allowed for each Bulk Upload Submission.

Invalid CUSIPs will not populate in the Securities List and will generate an error message that appears on the right hand side of the page.

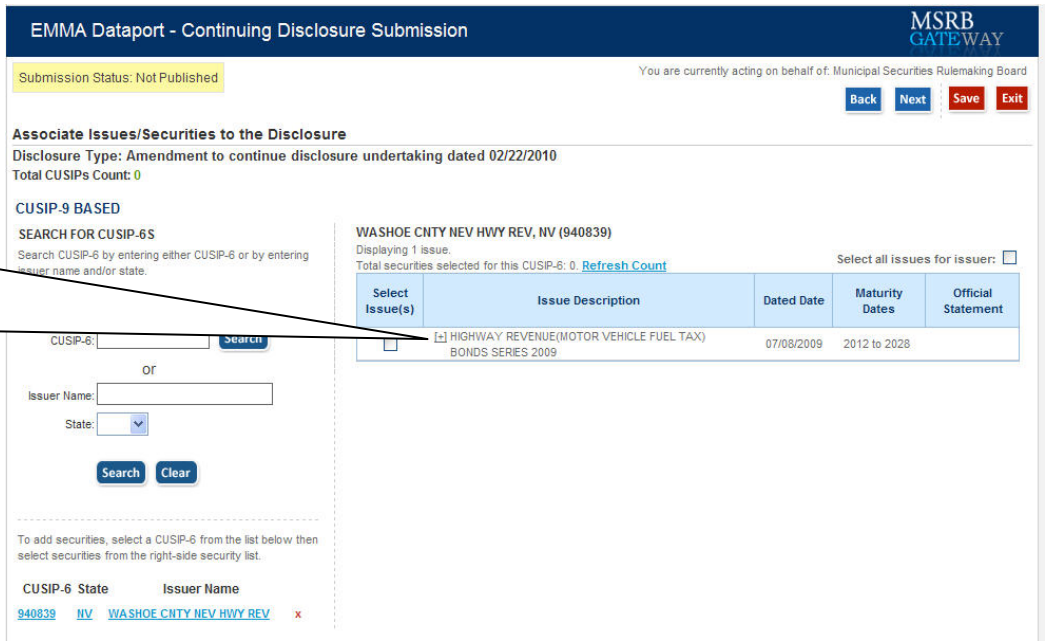
4.1.2B I Don't Know My CUSIP-9s

For "I Don't Know My CUSIP-9s" the user can enter a CUSIP-6 and select the underlying CUSIP-9s or if the CUSIP-6 is unknown, then the user can search for the CUSIP-6 using Issuer Name and/or State.



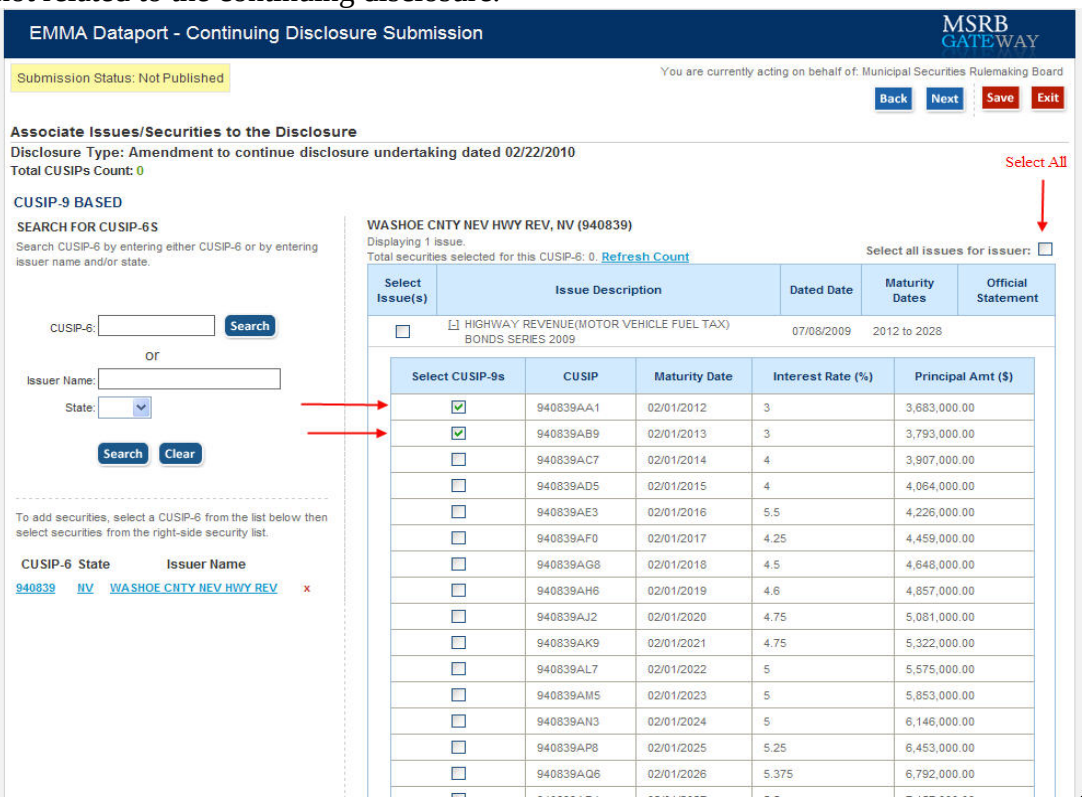
CUSIP-6:
Enter the CUSIP-6. When the "Search" button is selected, EMMA displays the issuer name corresponding to the CUSIP number, and all issues for which it has information.

To display the securities of an issue, click on the [+] next to the issue name. The securities, identified by nine-digit CUSIP numbers (securities are also known as maturities) appear in an expanded list beneath the issue. To collapse the list, click on the [-].


EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Municipal Securities Rulemaking Board
Back
Next
Save
Exit
Associate Issues/Securities to the Disclosure
Disclosure Type: Amendment to continue disclosure undertaking dated 02/22/2010
Total CUSIPs Count: 0
CUSIP-9 BASED
SEARCH FOR CUSIP-6S
Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.
CUSIP-6:
Search
or
Issuer Name:
State:
Search
Clear
To add securities, select a CUSIP-6 from the list below then select securities from the right-side security list.
CUSIP-6 State Issuer Name
940839 NV WASHOE CNTY NEV HWY REV
WASHOE CNTY NEV HWY REV, NV (940839)
Displaying 1 issue.
Total securities selected for this CUSIP-6: 0. Refresh Count
Select all issues for issuer:
Select Issue(s)
Issue Description
Dated Date
Maturity Dates
Official Statement
[+] HIGHWAY REVENUE(MOTOR VEHICLE FUEL TAX) BONDS SERIES 2009
07/08/2009
2012 to 2028

Expand the issue by clicking the [+]

To select individual securities related to the continuing disclosure, check the box next to the appropriate securities. To select all securities in an issue, check the box next to the issue name. You may select all securities in an issue and then deselect securities that are not related to the continuing disclosure.

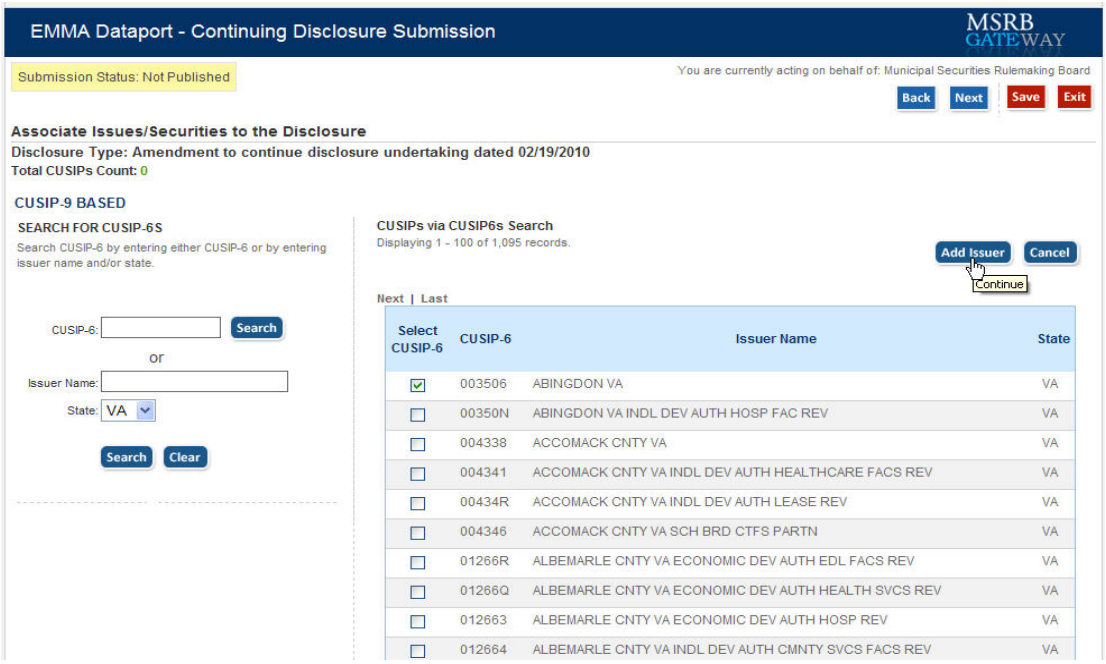


To deselect a security, click a box that is already checked (see arrows in the example above). To select all issues for an issuer, check the box at the top of the issue list.

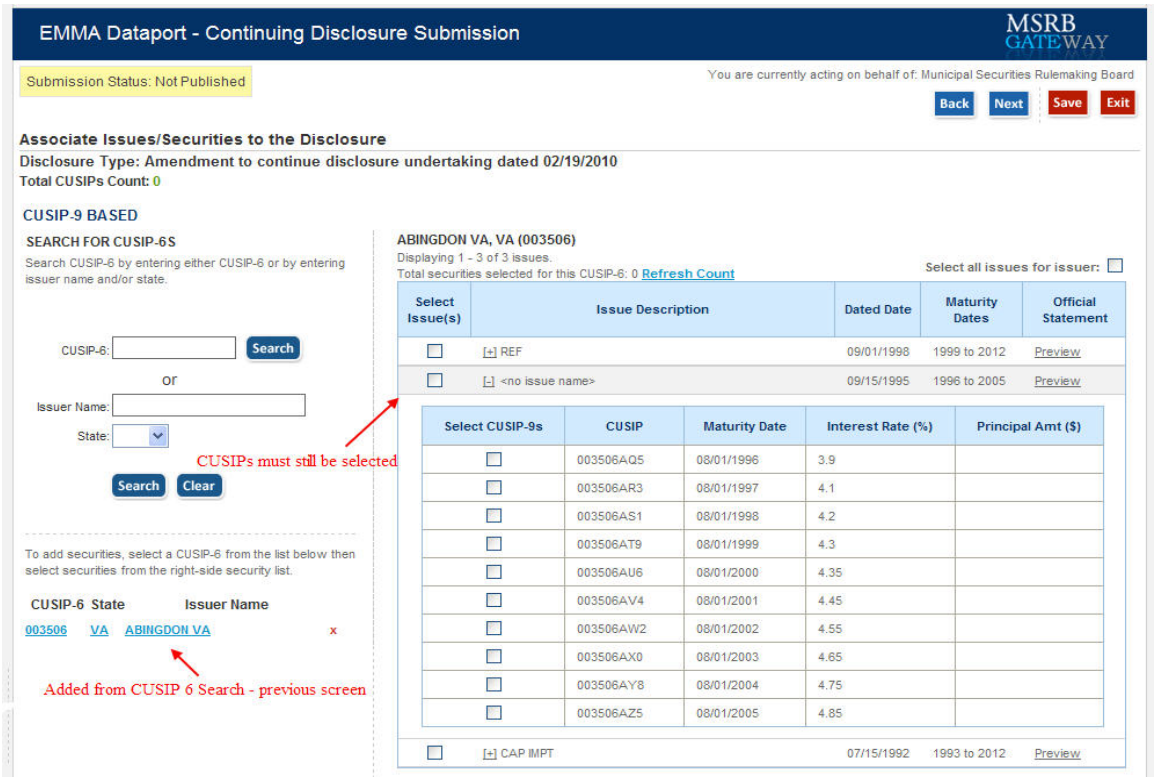
You may associate maturities from more than one six-digit CUSIP to the disclosure document. This may be appropriate, for example, if an issuer's issues have several six-digit CUSIP numbers or if disclosures of an obligated person pertain to several issuers.

Search for CUSIP-6:

The user can search for CUSIP-6(s) using Issuer Name and/or State. To narrow search results, use a combination of Issuer Name and State. This feature facilitates finding the correct CUSIP numbers and applying them to the current submission. Select the relevant CUSIP-6s from the search results, which will associate them with the current submission, then select "Add Issuer".

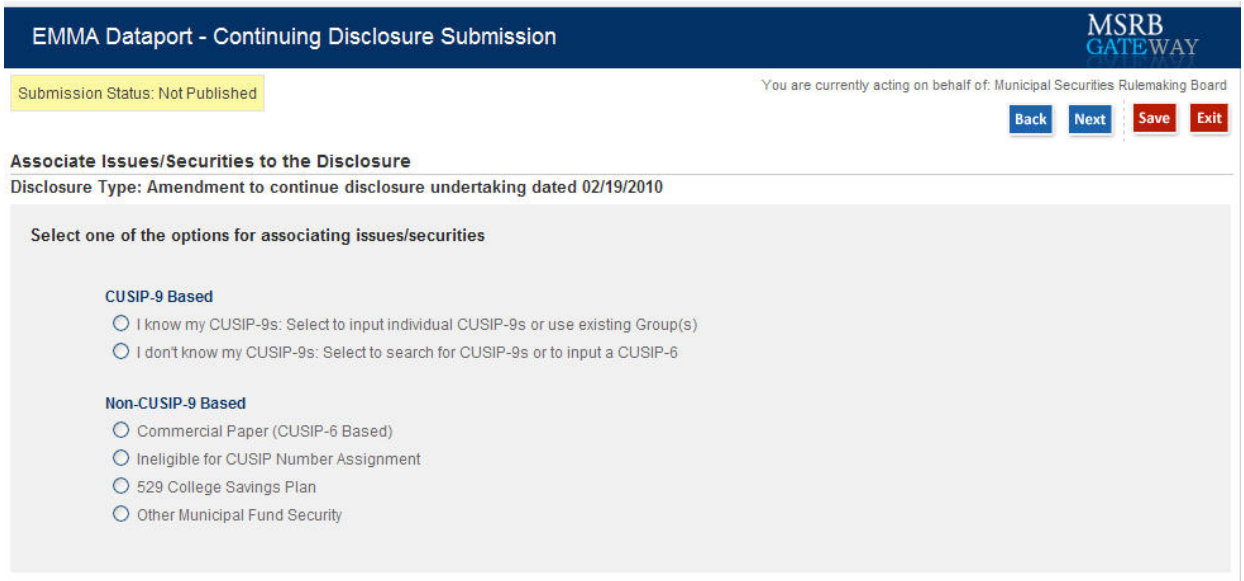

EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Municipal Securities Rulemaking Board
Back
Next
Save
Exit
Associate Issues/Securities to the Disclosure
Disclosure Type: Amendment to continue disclosure undertaking dated 02/19/2010
Total CUSIPs Count: 0
CUSIP-9 BASED
SEARCH FOR CUSIP-6S
Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.
CUSIP-6:
Search
or
Issuer Name:
State: VA
Search
Clear
CUSIPs via CUSIP6s Search
Displaying 1 - 100 of 1,095 records.
Add Issuer
Cancel
Continue
Next | Last
Select CUSIP-6
CUSIP-6
Issuer Name
State
003506 ABINGDON VA VA
00350N ABINGDON VA INDL DEV AUTH HOSP FAC REV VA
004338 ACCOMACK CNTY VA VA
004341 ACCOMACK CNTY VA INDL DEV AUTH HEALTHCARE FACS REV VA
00434R ACCOMACK CNTY VA INDL DEV AUTH LEASE REV VA
004346 ACCOMACK CNTY VA SCH BRD CTFS PARTN VA
01266R ALBEMARLE CNTY VA ECONOMIC DEV AUTH EDL FACS REV VA
01266Q ALBEMARLE CNTY VA ECONOMIC DEV AUTH HEALTH SVCS REV VA
012663 ALBEMARLE CNTY VA ECONOMIC DEV AUTH HOSP REV VA
012664 ALBEMARLE CNTY VA INDL DEV AUTH CMNTY SVCS FACS REV VA

Note: This only adds the selected CUSIP-6 to the Associate Securities screen, CUSIP-9(s) must still be selected.



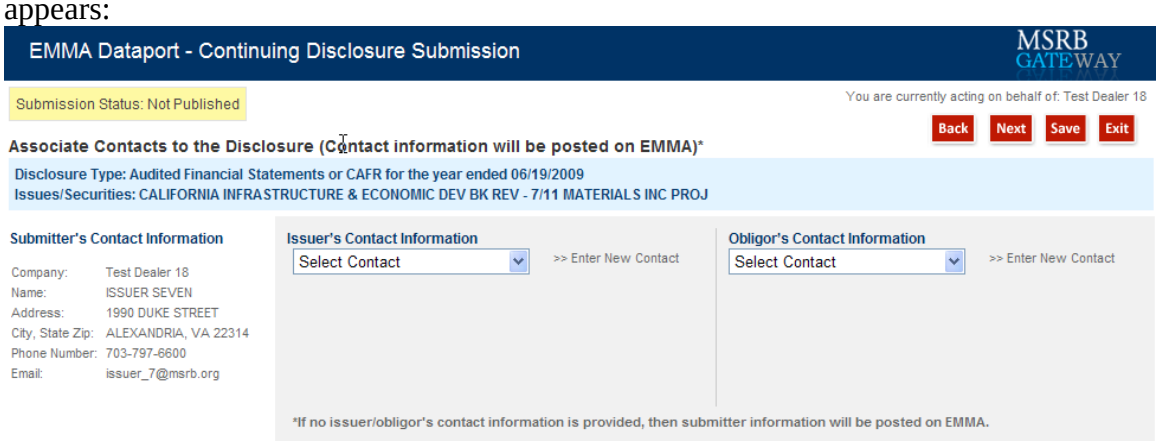
4.1.2C Non-CUSIP-9 Based

For Non-CUSIP-9 Based submissions select one of the following categories: Commercial Paper, Non-CUSIP, 529 College Savings Plan, or Other Municipal Fund Security. Once the selection is made, follow the on-screen instructions for associating the disclosure to the appropriate issue and/or security.

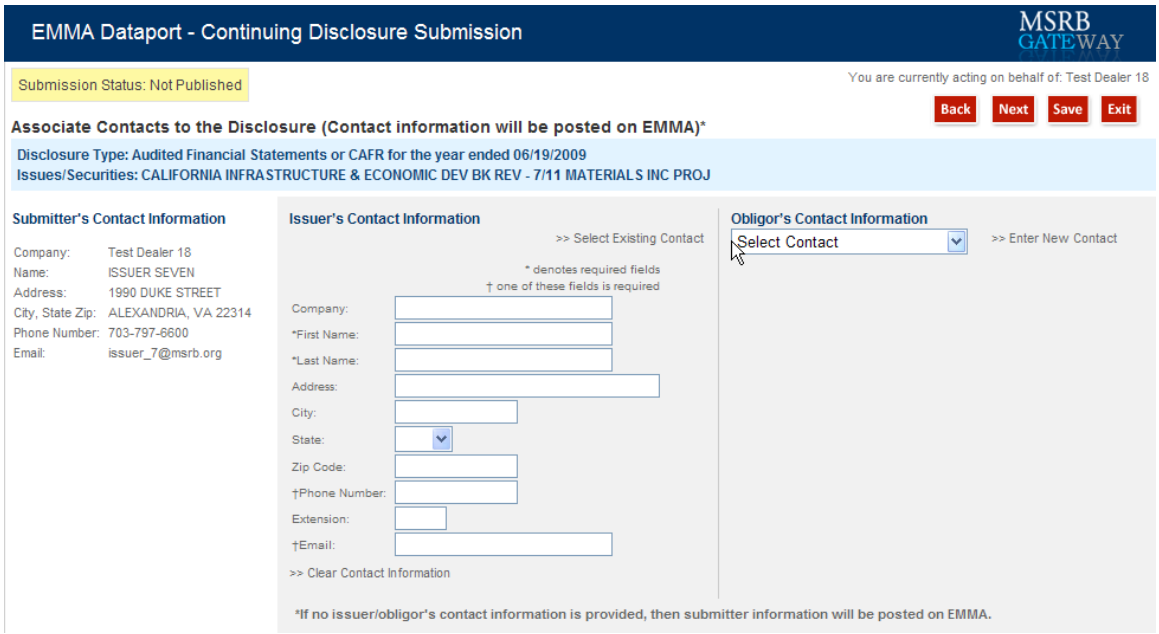

EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Municipal Securities Rulemaking Board
Back
Next
Save
Exit
Associate Issues/Securities to the Disclosure
Disclosure Type: Amendment to continue disclosure undertaking dated 02/19/2010
Select one of the options for associating issues/securities
CUSIP-9 Based
I know my CUSIP-9s: Select to input individual CUSIP-9s or use existing Group(s)
I don't know my CUSIP-9s: Select to search for CUSIP-9s or to input a CUSIP-6
Non-CUSIP-9 Based
Commercial Paper (CUSIP-6 Based)
Ineligible for CUSIP Number Assignment
529 College Savings Plan
Other Municipal Fund Security

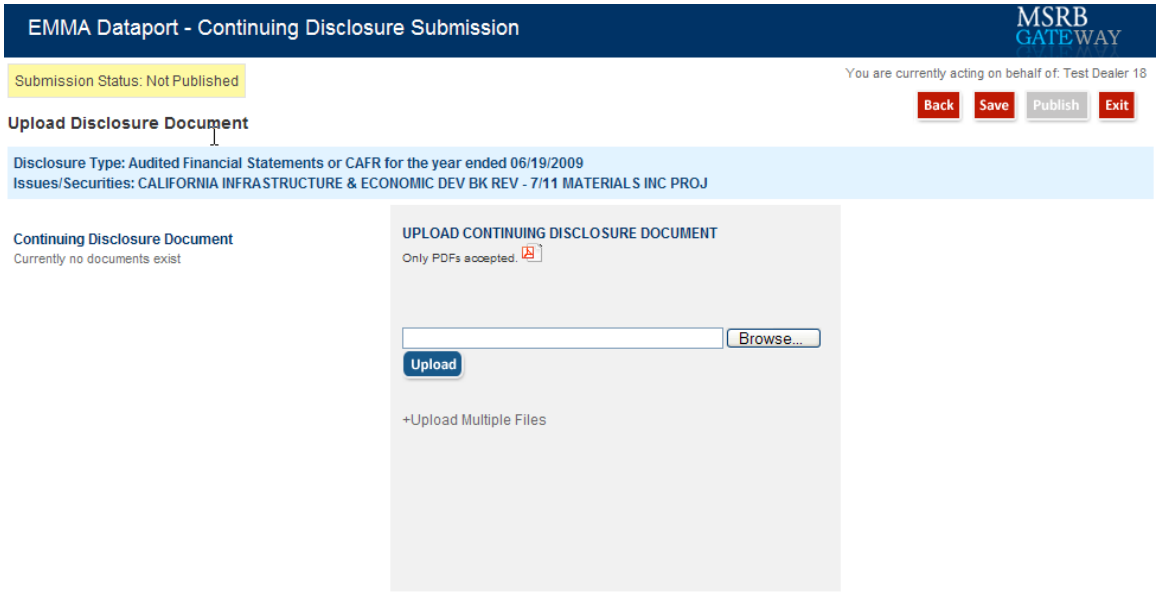
4.1.3 Associating Contacts to the Disclosure

A submitter may provide contact information of persons whom the public can ask for further information. After the issues or securities are selected, the following screen appears:


EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Test Dealer 18
Back
Next
Save
Exit
Associate Contacts to the Disclosure (Contact information will be posted on EMMA)*
Disclosure Type: Audited Financial Statements or CAFR for the year ended 06/19/2009
Issues/Securities: CALIFORNIA INFRASTRUCTURE & ECONOMIC DEV BK REV - 7/11 MATERIALS INC PROJ
Submitter's Contact Information
Company: Test Dealer 18
Name: ISSUER SEVEN
Address: 1990 DUKE STREET
City, State Zip: ALEXANDRIA, VA 22314
Phone Number: 703-797-6600
Email: issuer_7@msrb.org
Issuer's Contact Information
Select Contact
>> Enter New Contact
Obligor's Contact Information
Select Contact
>> Enter New Contact
*If no issuer/obligor's contact information is provided, then submitter information will be posted on EMMA.

You can enter a new issuer contact, obligor contact, or both. You must enter the contact's name and either the phone number or e-mail address. The pull-down menus also enable you to select among contacts you have previously associated with any one of the CUSIPs in the current submission. If you do not enter issuer or obligor contact information, then EMMA will display information about you as submitter.

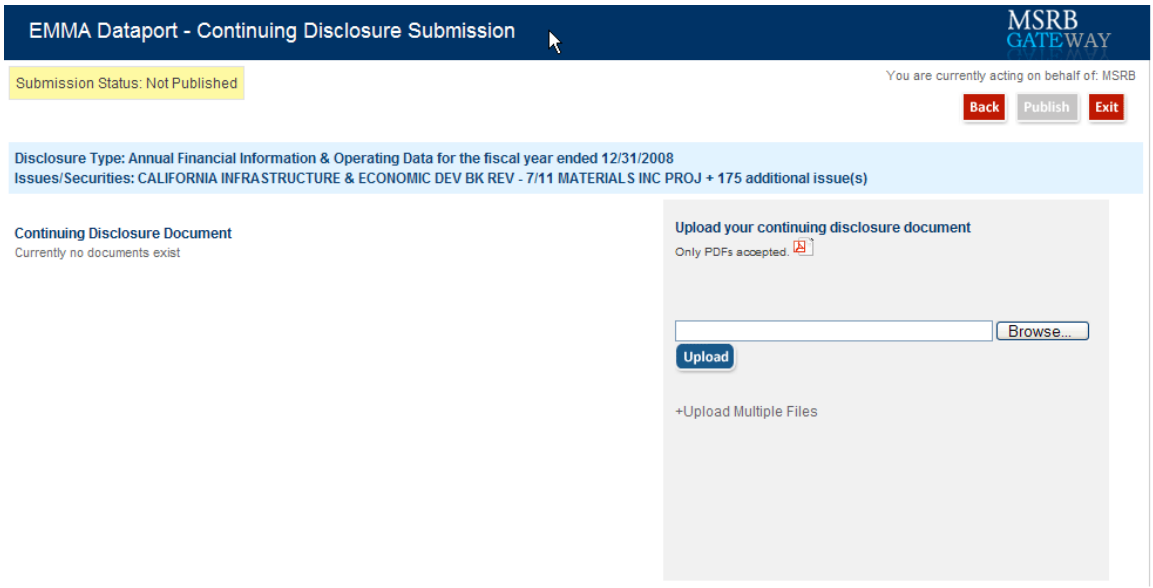

EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Test Dealer 18
Back
Next
Save
Exit
Associate Contacts to the Disclosure (Contact information will be posted on EMMA)*
Disclosure Type: Audited Financial Statements or CAFR for the year ended 06/19/2009
Issues/Securities: CALIFORNIA INFRASTRUCTURE & ECONOMIC DEV BK REV - 7/11 MATERIALS INC PROJ
Submitter's Contact Information
Company: Test Dealer 18
Name: ISSUER SEVEN
Address: 1990 DUKE STREET
City, State Zip: ALEXANDRIA, VA 22314
Phone Number: 703-797-6600
Email: issuer_7@msrb.org
Issuer's Contact Information
>> Select Existing Contact
* denotes required fields
† one of these fields is required
Company:
*First Name:
*Last Name:
Address:
City:
State:
Zip Code:
†Phone Number:
Extension:
†Email:
>> Clear Contact Information
Obligor's Contact Information
Select Contact
>> Enter New Contact
*If no issuer/obligor's contact information is provided, then submitter information will be posted on EMMA.


EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Test Dealer 18
Back
Save
Publish
Exit
Upload Disclosure Document
Disclosure Type: Audited Financial Statements or CAFR for the year ended 06/19/2009
Issues/Securities: CALIFORNIA INFRASTRUCTURE & ECONOMIC DEV BK REV - 7/11 MATERIALS INC PROJ
Continuing Disclosure Document
Currently no documents exist
UPLOAD CONTINUING DISCLOSURE DOCUMENT
Only PDFs accepted.
Browse...
Upload
+Upload Multiple Files

Note that the contacts you enter will not be visible to other submitters. Each submitter must enter its own contact information.

4.1.4 Uploading the Document

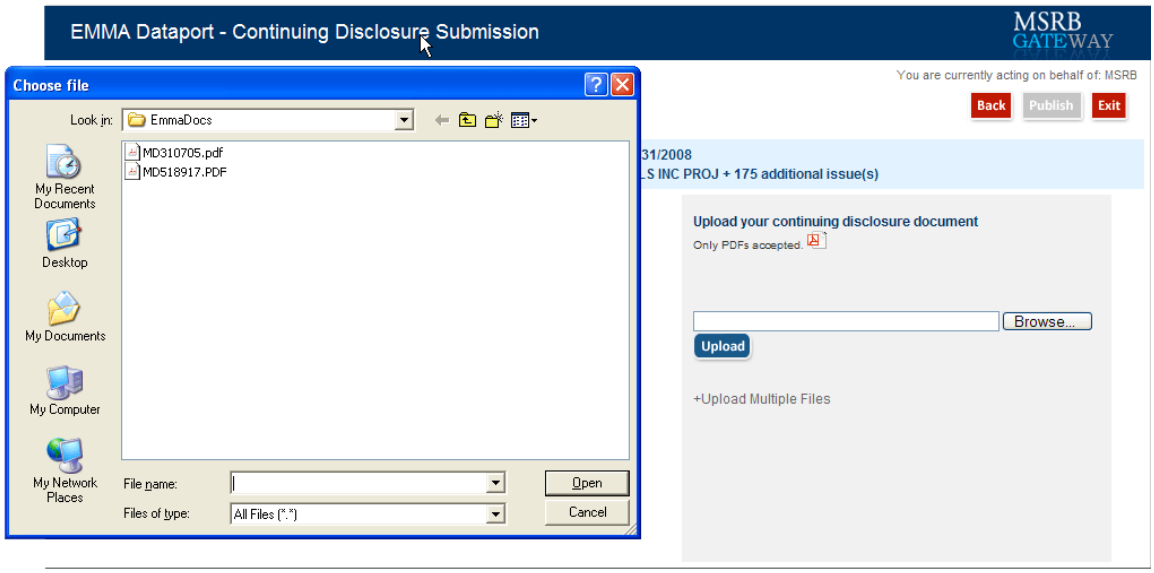
When your security and issue selections have been made, select "Next." The document upload screen will appear.


EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: MSRB
Back
Publish
Exit
Disclosure Type: Annual Financial Information & Operating Data for the fiscal year ended 12/31/2008
Issues/Securities: CALIFORNIA INFRASTRUCTURE & ECONOMIC DEV BK REV - 7/11 MATERIALS INC PROJ + 175 additional issue(s)
Continuing Disclosure Document
Currently no documents exist
Upload your continuing disclosure document
Only PDFs accepted.
Browse...
Upload
+Upload Multiple Files

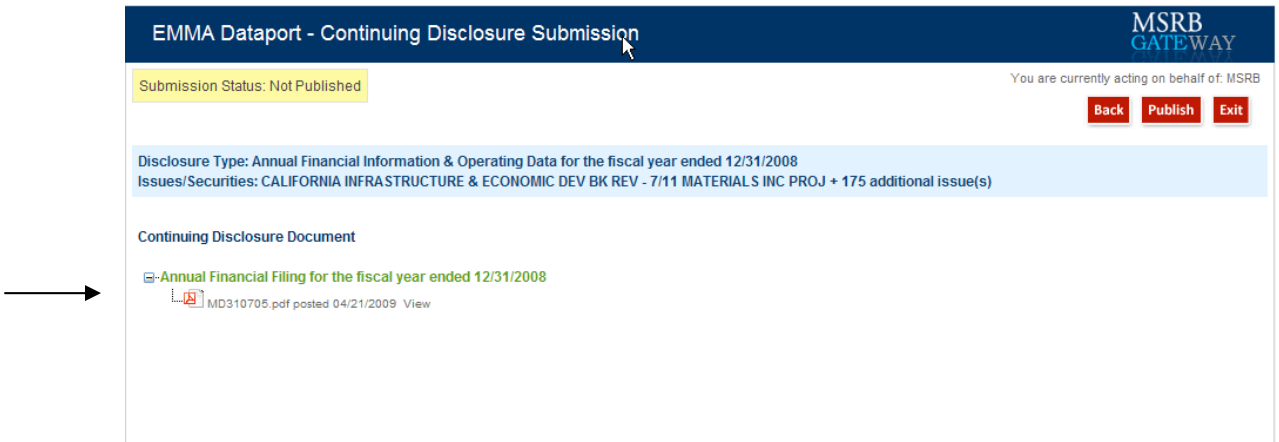
There are certain constraints on documents that can be uploaded into EMMA. Each continuing disclosure document must be a portable document format (PDF) file configured to be saved, viewed, printed and retransmitted by electronic means. The document must also be word-searchable, that is, allowing the user to search for specific

terms used within the document through a search or find function available in most standard software packages. Diagrams, images and other non-textual elements are not required to be word-searchable. If the submitted file is a reproduction of the original document, the submitted file must maintain the graphical and textual integrity of the original document.

Use the "Browse" button to select the file on your computer. Select "Upload" to transfer the file to EMMA.



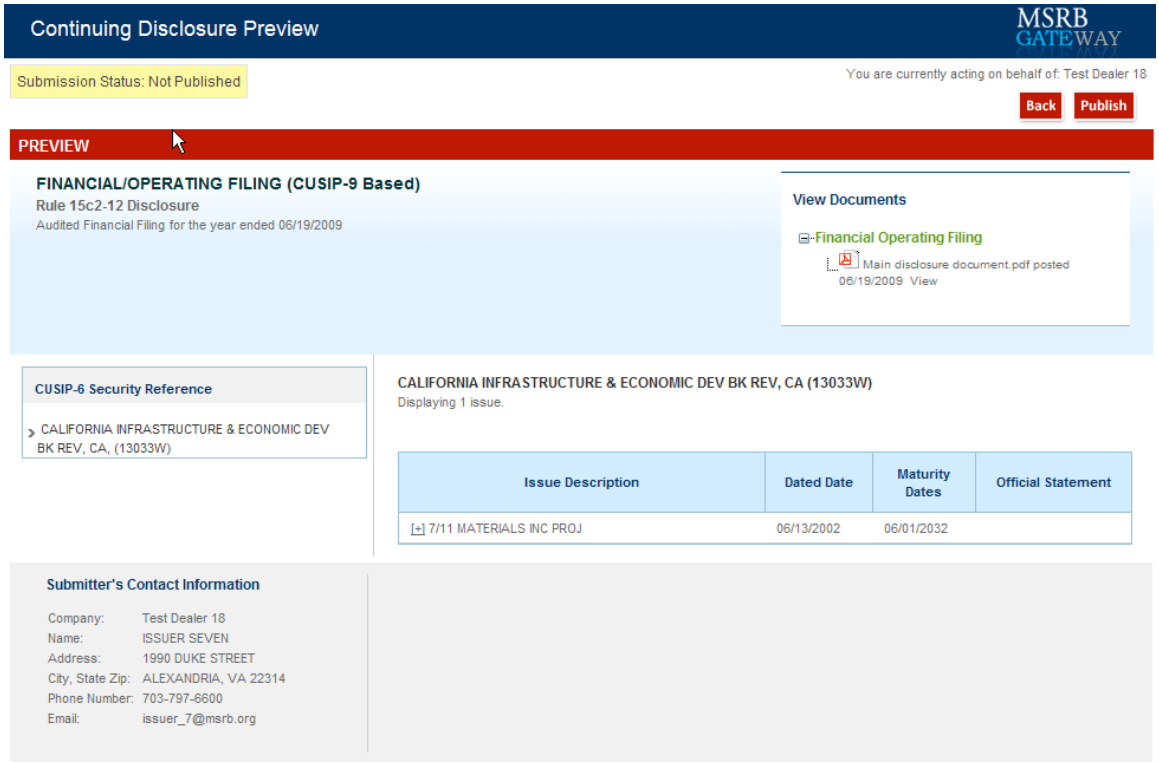
EMMA shows that the document has been uploaded by displaying the document name on the left side of the screen.


EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: MSRB
Back
Publish
Exit
Disclosure Type: Annual Financial Information & Operating Data for the fiscal year ended 12/31/2008
Issues/Securities: CALIFORNIA INFRASTRUCTURE & ECONOMIC DEV BK REV - 7/11 MATERIALS INC PROJ + 175 additional issue(s)
Continuing Disclosure Document
Annual Financial Filing for the fiscal year ended 12/31/2008
MD310705.pdf posted 04/21/2009 View

4.1.5 Publishing the Disclosure

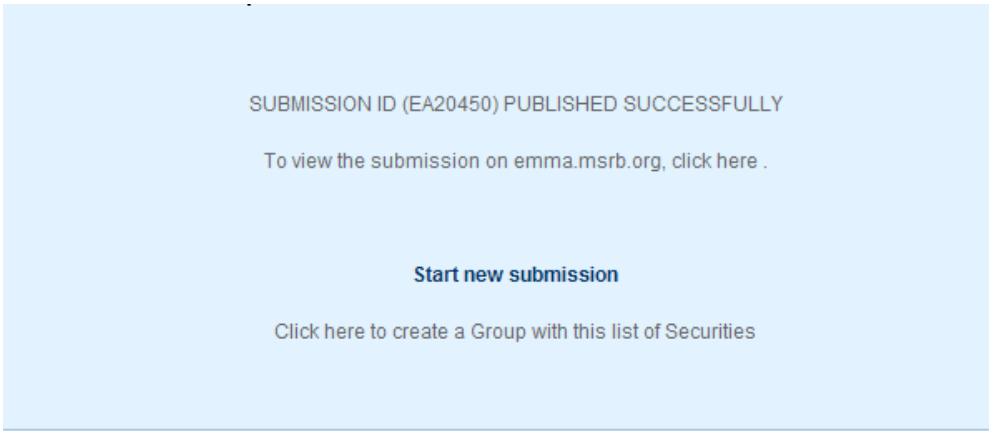
The uploaded document is not yet disclosed to the public. ***You must "publish" the document to disclose it.*** This is a two-step process. Select the red "Publish" button.

The following screen appears, which allows you to preview all the information you are about to publish. If you wish to make a hard-copy record of your submission, print this screen.



If any information on the Preview screen needs to be changed, use the "Back" button until you reach the screen where the data was input. Once all information is correct, select the "Publish" button a second time. The following screen appears.

You may resume editing the document or publish it. When you publish, the following confirmation screen appears.

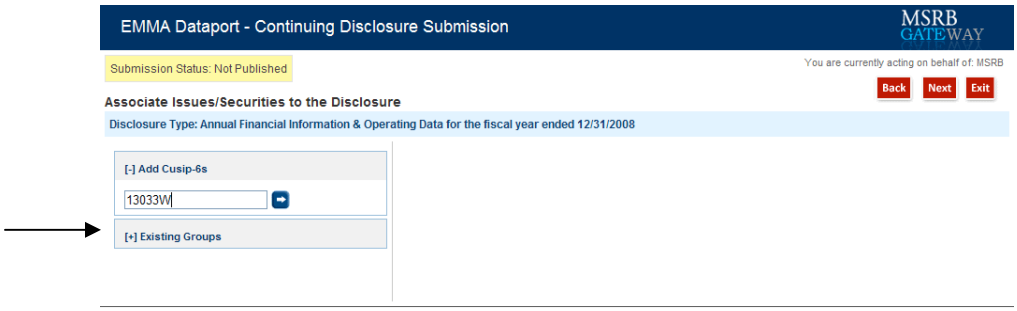

SUBMISSION ID (EA20450) PUBLISHED SUCCESSFULLY
To view the submission on emma.msrb.org, click here .
Start new submission
Click here to create a Group with this list of Securities

4.1.6 Creating a Group of Securities

You can save the set of securities that you associated with the disclosure as a named group. This will allow you to quickly and easily submit additional disclosures to the same group of securities in the future. To begin creating a group, click on the bottom line of the confirmation screen (above). A field appears in which you can enter the name of the group of securities.

SUBMISSION ID (EA20450) PUBLISHED SUCCESSFULLY
To view the submission on emma.msrb.org, click here .
Start new submission
Group Name:
Save

Enter the name and click "Save." The group will be available the next time you make a continuing disclosure submission. The prompt, "[+] Existing Groups," enables you to display the names of previously defined groups.


EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: MSRB
Back
Next
Exit
Associate Issues/Securities to the Disclosure
Disclosure Type: Annual Financial Information & Operating Data for the fiscal year ended 12/31/2008
[-] Add Cusip-6s
13033W
[+] Existing Groups

4.2 Submitting an Event Filing

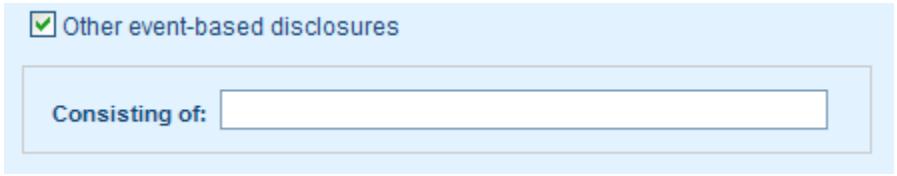
To submit an event filing, select "Event Filing" from the first continuing disclosure screen. Select "Next."

EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: MSRB
Next
Exit
Select type of Continuing Disclosure Submission
ANNUAL/ PERIODIC FILING
Submit annual financial information under SEC Rule 15c2-12(b)(5)(i)(A) and (d)(2)(ii)(A), audited financial statements under Rule 15c2-12(b)(5)(i)(B), notice of failure to provide annual financial information under Rule 15c2-12(b)(5)(i)(D), and other voluntary periodic information.
EVENT FILING
Submit notice of a material event specified under SEC Rule 15c2-12(b)(5)(C) and (d)(2)(ii)(B), and any other voluntary notice or disclosure with respect to municipal securities.

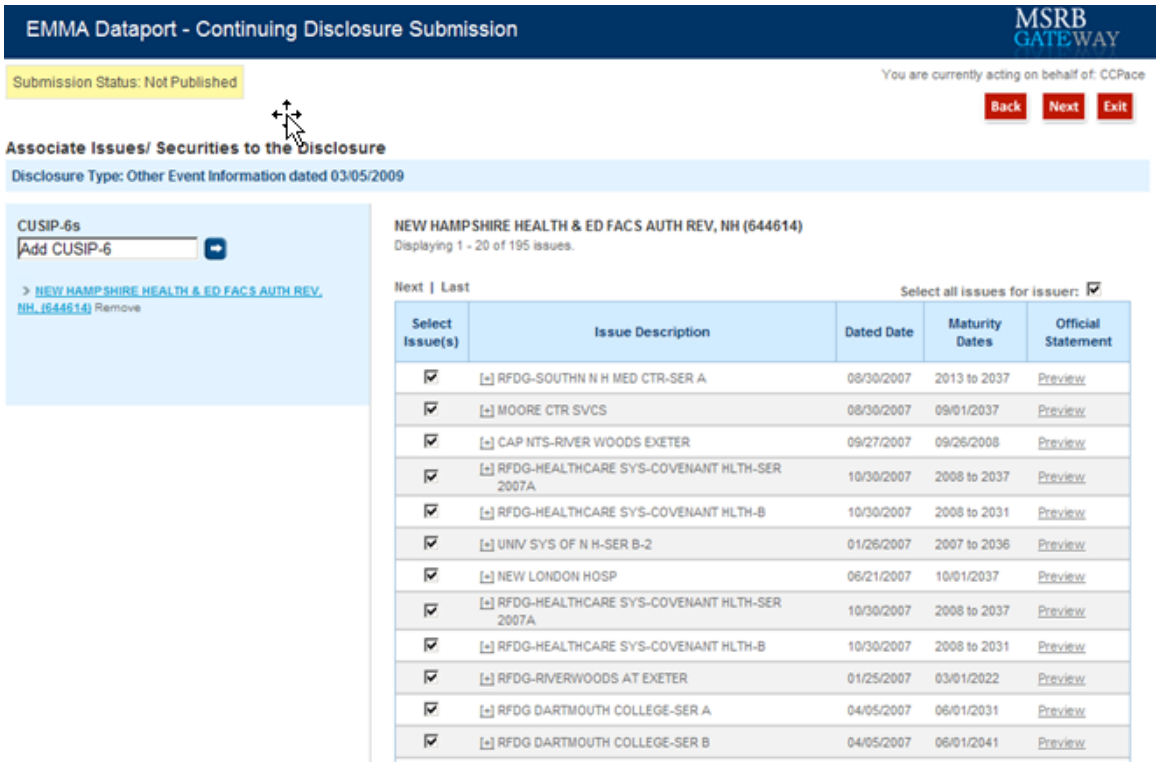
Enter the date of the document, if not today's date, and select the event type. (If the document date is the date of submission, EMMA provides today's date by default.) Event types include disclosure of a material event specified by Exchange Act Rule 15c2-12 or another event disclosure on a voluntary basis. These are listed on the screen below.

EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: Test Dealer 18
Back
Next
Save
Exit
Select Type of Continuing Disclosure Submission
EVENT FILING
Expected date format for all date fields: mm/dd/yyyy
Document dated (if not today):
Rule 15c2-12 Disclosure
(Check all that apply)
Principal/Interest payment delinquency
Non-payment related default
Unscheduled draw on debt service reserve reflecting financial difficulties
Unscheduled draw on credit enhancement reflecting financial difficulties
Substitution of credit or liquidity provider, or its failure to perform
Adverse tax opinion or event affecting the tax-exempt status of the security
Modification to the rights of security holders
Bond call
Defeasance
Release, substitution or sale of property securing repayment of the security
Rating change
Additional / Voluntary Disclosure
Amendment to continue disclosure undertaking
Change in obligated person
Notice to investor pursuant to bond documents
Communication from the Internal Revenue Service
Tender offer/secondary market purchases
Bid for auction rate or other securities
Capital or other financing plan
Litigation/enforcement action
Merger/consolidation/reorganization/insolvency/bankruptcy
Change of trustee, tender agent, remarketing agent or other on-going party
Derivative or other similar transaction
Other event-based disclosures

For "Other Event-Based Disclosures," you will be prompted to describe the event.



Next, associate issues or securities to the disclosure as described in Section 4.1.2.


EMMA Dataport - Continuing Disclosure Submission
MSRB GATEWAY
Submission Status: Not Published
You are currently acting on behalf of: CCPace
Back
Next
Exit
Associate Issues/ Securities to the Disclosure
Disclosure Type: Other Event Information dated 03/05/2009
CUSIP-6s
Add CUSIP-6
> NEW HAMPSHIRE HEALTH & ED FACS AUTH REV, NH, (644614) Remove
NEW HAMPSHIRE HEALTH & ED FACS AUTH REV, NH (644614)
Displaying 1 - 20 of 195 issues.
Next | Last
Select all issues for issuer:
Select Issue(s)
Issue Description
Dated Date
Maturity Dates
Official Statement
[+] RFDG-SOUTHN N H MED CTR-SER A 08/30/2007 2013 to 2037 Preview
[+] MOORE CTR SVCS 08/30/2007 09/01/2037 Preview
[+] CAP NTS-RIVER WOODS EXETER 09/27/2007 09/26/2008 Preview
[+] RFDG-HEALTHCARE SYS-COVENANT HLTH-SER 2007A 10/30/2007 2008 to 2037 Preview
[+] RFDG-HEALTHCARE SYS-COVENANT HLTH-B 10/30/2007 2008 to 2031 Preview
[+] UNIV SYS OF N H-SER B-2 01/26/2007 2007 to 2036 Preview
[+] NEW LONDON HOSP 06/21/2007 10/01/2037 Preview
[+] RFDG-HEALTHCARE SYS-COVENANT HLTH-SER 2007A 10/30/2007 2008 to 2037 Preview
[+] RFDG-HEALTHCARE SYS-COVENANT HLTH-B 10/30/2007 2008 to 2031 Preview
[+] RFDG-RIVERWOODS AT EXETER 01/25/2007 03/01/2022 Preview
[+] RFDG DARTMOUTH COLLEGE-SER A 04/05/2007 06/01/2031 Preview
[+] RFDG DARTMOUTH COLLEGE-SER B 04/05/2007 06/01/2041 Preview

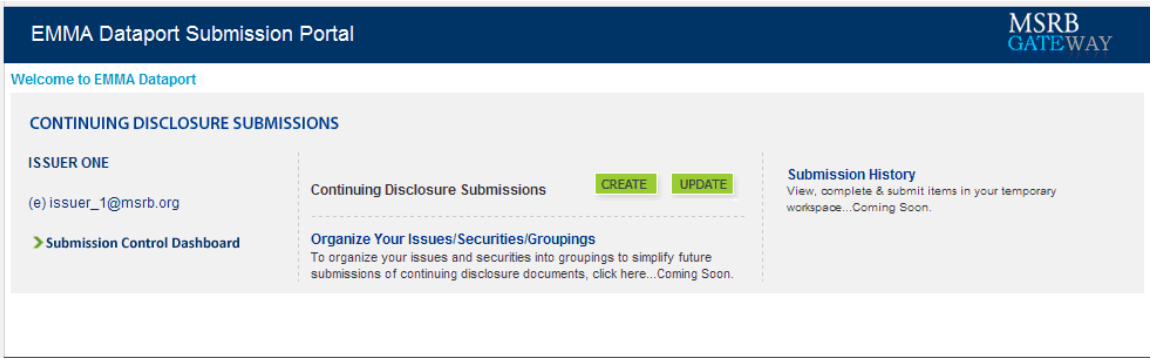
Upload the document and publish the disclosure, as described in Sections 4.1.4 and 4.1.5.

5 Controlling Securities

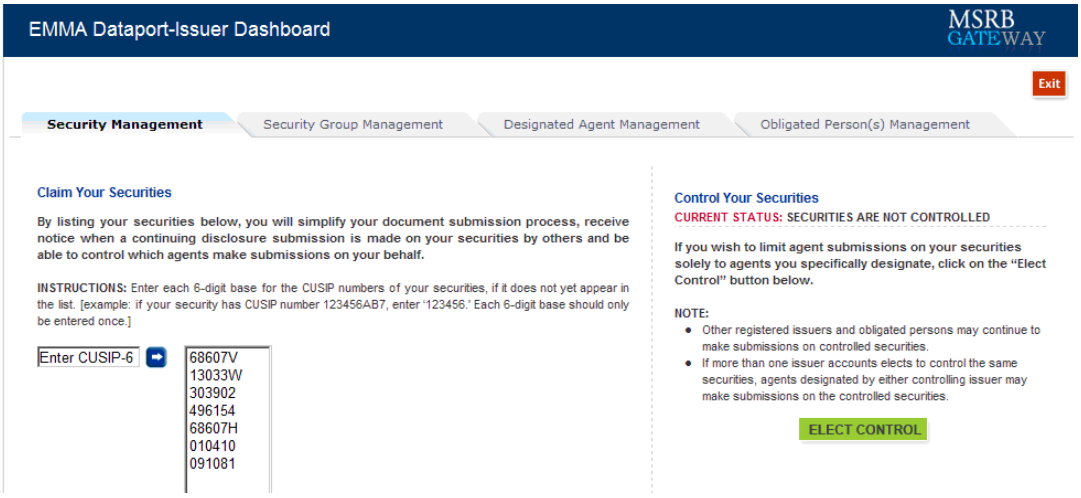
Issuers may govern which secondary market agents can submit information regarding a CUSIP or set of CUSIPs. By "controlling securities," issuers are able to designate which secondary market agents may make continuing disclosure submissions to EMMA for the controlled securities and therefore prohibit continuing disclosure submissions by secondary market agents that are not so designated. In addition, issuers will receive an e-mail alert for each continuing disclosure submission for a controlled security.

5.1 EMMA Submission Control Dashboard

To control securities, select “Submission Control Dashboard” from the Continuing Disclosure Submissions screen, which appears immediately after you login.

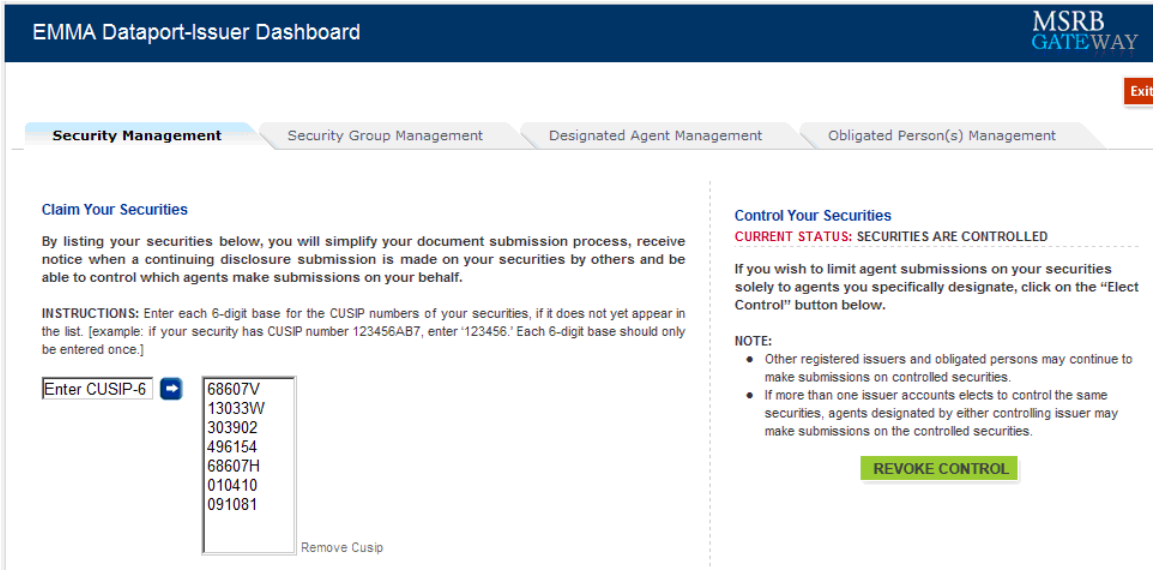

EMMA Dataport Submission Portal
MSRB GATEWAY
Welcome to EMMA Dataport
CONTINUING DISCLOSURE SUBMISSIONS
ISSUER ONE
(e) issuer_1@msrb.org
Submission Control Dashboard
Continuing Disclosure Submissions
CREATE
UPDATE
Organize Your Issues/Securities/Groupings
To organize your issues and securities into groupings to simplify future submissions of continuing disclosure documents, click here...Coming Soon.
Submission History
View, complete & submit items in your temporary workspace...Coming Soon.

The EMMA Dataport Dashboard is shown below.


EMMA Dataport-Issuer Dashboard
MSRB GATEWAY
Exit
Security Management
Security Group Management
Designated Agent Management
Obligated Person(s) Management
Claim Your Securities
By listing your securities below, you will simplify your document submission process, receive notice when a continuing disclosure submission is made on your securities by others and be able to control which agents make submissions on your behalf.
INSTRUCTIONS: Enter each 6-digit base for the CUSIP numbers of your securities, if it does not yet appear in the list. [example: if your security has CUSIP number 123456AB7, enter '123456.' Each 6-digit base should only be entered once.]
Enter CUSIP-6
68607V
13033W
303902
496154
68607H
010410
091081
Control Your Securities
CURRENT STATUS: SECURITIES ARE NOT CONTROLLED
If you wish to limit agent submissions on your securities solely to agents you specifically designate, click on the "Elect Control" button below.
NOTE:
Other registered issuers and obligated persons may continue to make submissions on controlled securities.
If more than one issuer accounts elects to control the same securities, agents designated by either controlling issuer may make submissions on the controlled securities.
ELECT CONTROL

Enter the CUSIP numbers which you would like to “control” and select “Elect Control.” Once “Elect Control” has been selected, EMMA will accept submissions only from the agents designated by the issuer.

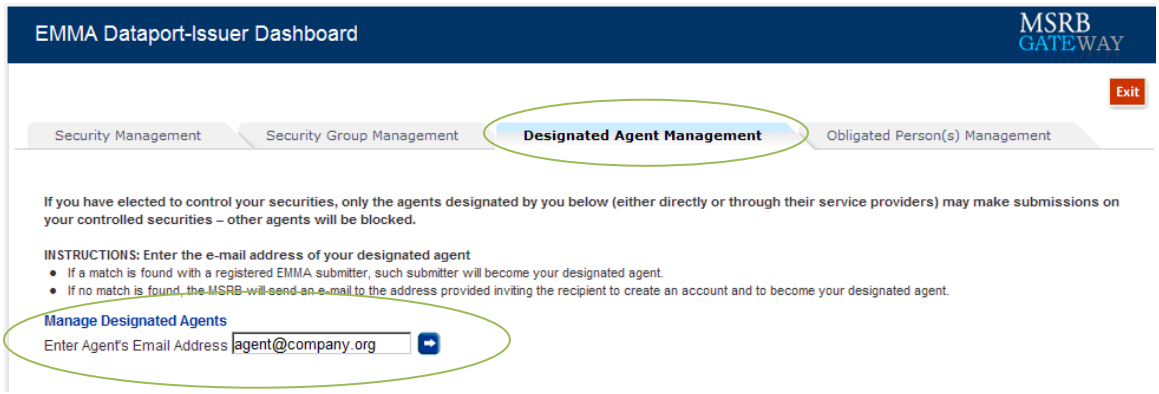
To undo an action taken above, enter the CUSIP numbers which you have “claimed” for control and select “Revoke Control.”


EMMA Dataport-Issuer Dashboard
MSRB GATEWAY
Exit
Security Management
Security Group Management
Designated Agent Management
Obligated Person(s) Management
Claim Your Securities
By listing your securities below, you will simplify your document submission process, receive notice when a continuing disclosure submission is made on your securities by others and be able to control which agents make submissions on your behalf.
INSTRUCTIONS: Enter each 6-digit base for the CUSIP numbers of your securities, if it does not yet appear in the list. [example: if your security has CUSIP number 123456AB7, enter '123456.' Each 6-digit base should only be entered once.]
Enter CUSIP-6
68607V
13033W
303902
496154
68607H
010410
091081
Remove Cusip
Control Your Securities
CURRENT STATUS: SECURITIES ARE CONTROLLED
If you wish to limit agent submissions on your securities solely to agents you specifically designate, click on the "Elect Control" button below.
NOTE:
Other registered issuers and obligated persons may continue to make submissions on controlled securities.
If more than one issuer accounts elects to control the same securities, agents designated by either controlling issuer may make submissions on the controlled securities.
REVOKE CONTROL

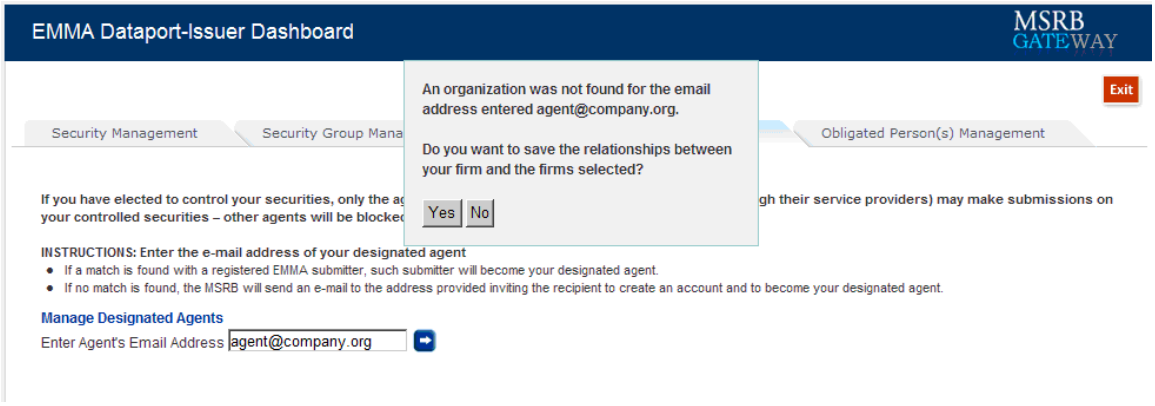
5.2 Agent Designation and Obligor Management

Through designating agents, an issuer can designate third parties to submit information on behalf of an issuer for those securities that the issuer has elected to control, as described in Section 5.1. Issuers can also invite obligors to make submissions on controlled securities. To designate an agent or invite an obligor, select the "Designated Agent Management" or "Obligated Person(s) Management" tab from the EMMA Dataport Dashboard. (The agent designation process is shown below but the process is identical for managing obligors.)

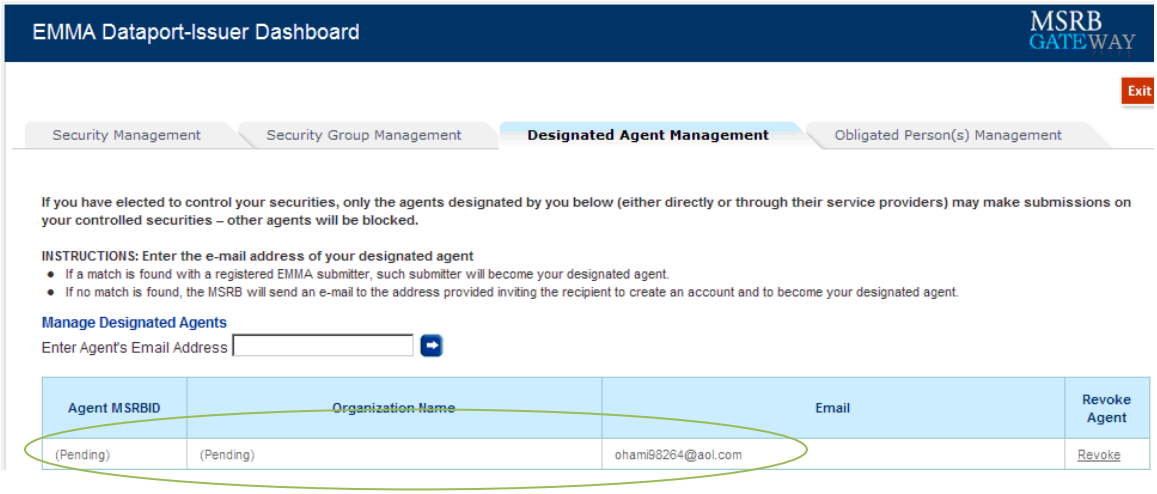
Enter the e-mail address for the agent you wish to designate.


EMMA Dataport-Issuer Dashboard
MSRB GATEWAY
Exit
Security Management
Security Group Management
Designated Agent Management
Obligated Person(s) Management
If you have elected to control your securities, only the agents designated by you below (either directly or through their service providers) may make submissions on your controlled securities – other agents will be blocked.
INSTRUCTIONS: Enter the e-mail address of your designated agent
If a match is found with a registered EMMA submitter, such submitter will become your designated agent.
If no match is found, the MSRB will send an e-mail to the address provided inviting the recipient to create an account and to become your designated agent.
Manage Designated Agents
Enter Agent's Email Address
agent@company.org

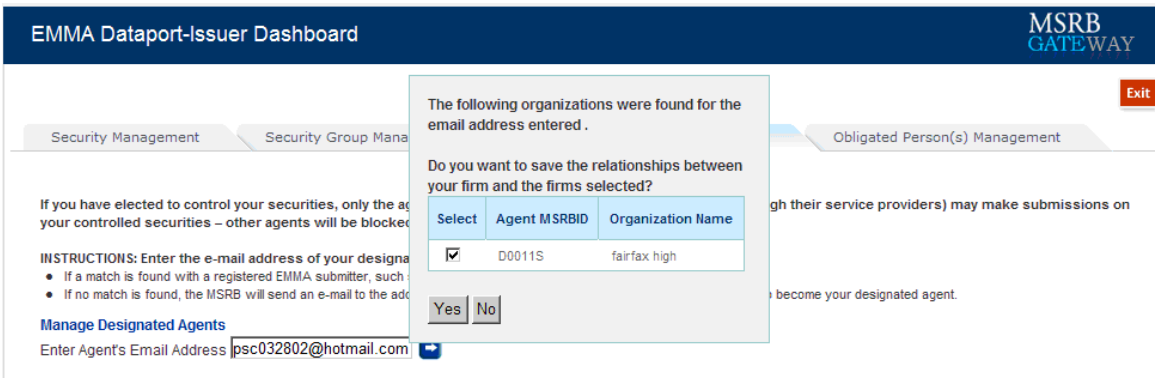
If the agent is not registered, the issuer may save the relationship with the agent by selecting "Yes." EMMA will send an e-mail to the agent inviting them to register, as described in Section 2.


EMMA Dataport-Issuer Dashboard
MSRB GATEWAY
Exit
An organization was not found for the email address entered agent@company.org.
Do you want to save the relationships between your firm and the firms selected?
Yes
No
Security Management
Security Group Mana
Obligated Person(s) Management
If you have elected to control your securities, only the ag
gh their service providers) may make submissions on your controlled securities – other agents will be blocke
INSTRUCTIONS: Enter the e-mail address of your designated agent
If a match is found with a registered EMMA submitter, such submitter will become your designated agent.
If no match is found, the MSRB will send an e-mail to the address provided inviting the recipient to create an account and to become your designated agent.
Manage Designated Agents
Enter Agent's Email Address agent@company.org

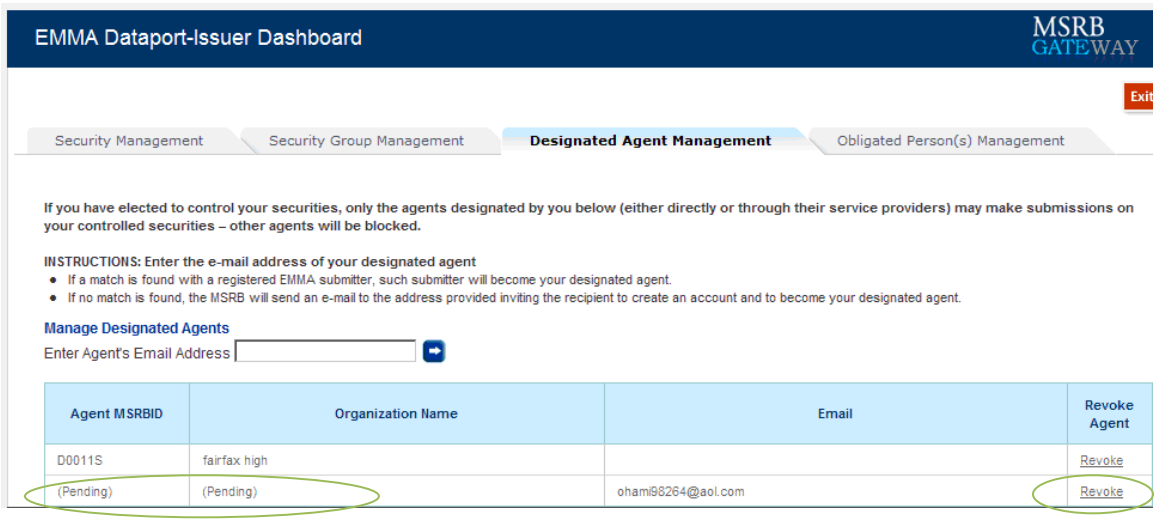
Selecting "Yes" places the agent in the issuer's pending status. Upon registration, the agent will be able to immediately post submissions; however, such submissions will be flagged as unconfirmed until the following business day. Once confirmed, submissions by the agent will no longer be flagged as unconfirmed, and the agent's status will no longer be listed as "pending."


EMMA Dataport-Issuer Dashboard
MSRB GATEWAY
Exit
Security Management
Security Group Management
Designated Agent Management
Obligated Person(s) Management
If you have elected to control your securities, only the agents designated by you below (either directly or through their service providers) may make submissions on your controlled securities – other agents will be blocked.
INSTRUCTIONS: Enter the e-mail address of your designated agent
If a match is found with a registered EMMA submitter, such submitter will become your designated agent.
If no match is found, the MSRB will send an e-mail to the address provided inviting the recipient to create an account and to become your designated agent.
Manage Designated Agents
Enter Agent's Email Address
Agent MSRBID
Organization Name
Email
Revoke Agent
(Pending)
(Pending)
ohami98264@aol.com
Revoke

If the agent is already registered, the issuer will be asked to save the relationship. After the relationship is saved the agent will be a designated agent for the issuer.



The agent will be listed as a designated agent for the issuer. Any designated agent is automatically confirmed. An issuer can revoke an agent designation at any time.


EMMA Dataport-Issuer Dashboard
MSRB GATEWAY
Security Management
Security Group Management
Designated Agent Management
Obligated Person(s) Management
If you have elected to control your securities, only the agents designated by you below (either directly or through their service providers) may make submissions on your controlled securities – other agents will be blocked.
INSTRUCTIONS: Enter the e-mail address of your designated agent
If a match is found with a registered EMMA submitter, such submitter will become your designated agent.
If no match is found, the MSRB will send an e-mail to the address provided inviting the recipient to create an account and to become your designated agent.
Manage Designated Agents
Enter Agent's Email Address
Agent MSRBID
Organization Name
Email
Revoke Agent
D0011S
fairfax high
Revoke
(Pending)
(Pending)
ohaml98264@aol.com
Revoke

6 Automated Submission of Continuing Disclosure Documents

EMMA includes an automated computer-to-computer submission interface as an alternative to the internet-based process previously described. The internet-based process is designed to accept input for a single submission, while the computer-to-computer interface supports input of multiple submissions. The Specifications can be found here: http://www.msrb.org/msrb1/PriMktsConDisc/MSRBSpecsforCDSubmissionService.pdf